

高等学校专业英语教材

# 英语毕业论文 实用指导

## A Practical Guide for English Thesis Writing

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## 内 容 简 介

本书以英语专业本科生为对象,以写作过程为主线,由实际问题引出具体的内容,以实用为目标,注重方法的介绍和指导,突出教材在毕业论文写作过程中的指导作用,引导学生学习和了解论文写作的一般步骤和注意事项,了解关于英语专业各类科研论文写作的基本知识和研究方法,旨在培养学生初步的科研能力。

本书共 8 章,分别介绍英语专业毕业论文写作的相关内容,包括英语专业本科毕业论文,选题与资料收集,开题报告的撰写,提纲的撰写,论文正文的写作,英语专业各类英语论文写作指导,引文、注释与参考文献,毕业论文答辩等内容,书后附有 5 个比较实用的附录。

本书逻辑清晰,内容全面,行文严谨,紧跟学科发展趋势,引用最新数据和文献信息,讲解深入浅出,例子丰富生动。

本书可作为英语专业本科生的教材,也可成为英语专业研究生和英语专业教师授课和开展科学研究的重要参考。

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# 序

用英语撰写毕业论文，对于任何一名英语专业本科生来说都是一场不可回避的挑战。它挑战你的英语基本功，尤其是写作能力，挑战你的思辨能力和科研能力，验证你是否能成为一名合格的英语专业毕业生。面对这样一场战斗，如果能有一位贵人相助，无疑将是一件幸事。

现在，摆在我面前的这部由北京工业大学耿丹学院王秀红等老师编写的《英语毕业论文实用指导》一书正是这样一位“高人”，因为这位“高人”有两件利器可以帮助你取胜，它们被我称为“导航仪”和“助推器”。先说“导航仪”，它会为你把握方向，排忧解难，对论文写作的全过程和每一个环节均给出了详尽的解释和剖析。它会带领着你从开始写作的第一步选择论题、收集资料，到开题报告、拟定提纲，再到后来的正文写作、论文答辩，一路伴随着你顺利走完这充满艰辛和挑战的写作历程。再谈“助推器”，它能为你减轻压力，增强信心，给你提供 6 类英语毕业论文的写作特点、基本类型和写作技巧，再加上真实的论文范例和精彩点评，让你有章可循，有样可仿。书后精心准备的多种附录资料，更为你赢得这场写作大战增添了不少“新式武器”和“弹药”，保障你能圆满完成论文写作。

我相信，对于绝大多数英语专业本科生来说，只要你细心阅读这本内容全面、材料翔实、例证丰富、语言规范的论文写作指导书，并且脚踏实地地按照本书编者的指引大胆实践，小心求证，就一定会比较轻松地完成人生第一次真正意义上的科研论文写作。到那时，你会情不自禁地说：“谢谢你们，这本书的每一位编者。”这也是我赏读该书初稿之后的一点感受和心得，愿每一位读者都会与我有此同感。

**马振铎**  
**于陕西师大**



# 前言

## PREFACE

英语专业本科毕业论文写作是不可缺少的专业实践环节。撰写毕业论文是检验学生在校学习成果的重要措施和提高教学质量的重要环节,而且学生的毕业论文完成质量一直是专业评估的重要考查指标之一。我们在多年的毕业论文指导实践中深刻地体会到,完成一篇语言质量较高、具有创新亮点的英语专业本科毕业论文,对于专业知识储备和科研能力相对有限的英语专业本科生而言,的确具有一定难度。学生在写毕业论文的过程中会暴露出各种各样的问题。有的学生有想法,但英语语言表述能力不过关;有的学生英语语言表述能力较强,但论文内容缺乏思想深度或缜密的内容衔接;有的学生有想法,而且语言表述能力也不错,但是不知采用何种研究方法和步骤,不知从何入手。鉴于以上问题,基于多年教学和指导经验,我们编写了本书。

本书以毕业论文写作过程为主线,共8章。第1章宏观介绍英语专业本科毕业论文的组成要件,突出介绍摘要的写作、关键词的选取和论文写作中可能会遇到的问题。第2章主要介绍如何发现选题、拟定选题、资料获取的途径及资料的运用等问题。第3章介绍开题报告的基本要素,重点介绍文献综述的写作目的、写作方式和写作原则,还附上了几篇开题报告范例。第4章介绍提纲的种类、提纲的语言表述及提纲的范例。第5章详细介绍论文的引言、主体和结论三部分写作的注意事项及其各自的语言表述特点。第6章分别从英语语言学研究、英语文学研究、跨文化交际研究、英语翻译研究、英语教学研究、商务英语研究六个研究方向,从研究范围、研究方法、研究步骤等方面,对各类论文的选题角度和写作方法进行了深入浅出的讲解,最后还对所附范文进行了简要的点评。第7章不仅简要介绍几类国际上通用的规范格式,还重点介绍国内英语专业各类研究经常采用的APA格式。第8章主要介绍毕业论文答辩的重要性、流程、相关准备及注意事项。在本书的末尾,编者还提供了5个附录,包括英语专业本科毕业论文选题参考、国内外英语学科部分权威期刊信息、国内外文献资源下载与检索网址、英语专业毕业论文一般格式与要求、本科毕业论文指导工作所需主要材料附表等,供广大师生参考使用。

本书的创新之处在于突出了教材的“实用性”和“指导性”。本书以英语专业本科生为对象,以写作过程为主线,由实际问题引出具体的内容,以实用为目标,注重方法的介绍和指导,突出教材在毕业论文写作过程中的指导作用,引导学生学习和了解论文写作的一般步骤和注意事项,了解关于英语专业各类科研论文写作的基本知识和研究方法,培养学生初步的科研能力,以便日后在某一领域进行深入的研究。本书第6章对英语专业六类研究论文的选题、研究方法和写作流程进行较详细的介绍和评述,这是本书的价值所在。本书附录规范而准确,尤其是附录C中提供了许多国内外电子资源检索网址,可在资料收集方面助广大师生及研究者一臂之力。

本书可作为英语专业本科生的教材,也可成为英语专业研究生和英语专业教师授课和开展科学研究的重要参考。

本书是2013年北京市“民办高校提高人才培养质量项目”之“教育教学改革立项”类

项目“英语专业本科毕业论文指导与写作课程体系研究”的主要科研成果。该项目的总负责人为我院（北京工业大学耿丹学院）甘德安院长，系部负责人为英语专业的王秀红和芮艳芳老师，共有9位经验丰富的英语专业教师参加了本书的编写。本书内容皆是教师们指导毕业论文过程中的实际心得，所用实例也都源自我院历届毕业生的论文材料。本书的“实用性”和“指导性”符合国家最近提出的培养高级应用型专门人才的培养目标。为了按时完成本书的写作，参编教师皆付出了极大的辛苦。具体写作责任分工如下：

第1章由袁洁负责撰写；第2章由石玉平负责撰写；第3章、第6章的6.6节、所有附录和前言由王秀红负责撰写；第4章和第6章的6.3节由王蔓负责撰写；第5章由赵靖娜负责撰写；第6章的6.1节和第7章由芮艳芳负责撰写；第6章的6.4节和第8章由余达负责撰写；第6章的6.2节由施思负责撰写；第6章的6.5节由杨爱欣负责撰写。参编教师多毕业于国家重点院校或专业外语院校，均有出国留学或进修经历，学术背景多元，教学和毕业论文指导经验丰富。

一本好书的出版不仅得益于写书人的辛勤劳动，更得益于各方的支持与帮助。本书在完成的过程中得到了耿丹学院各级领导以及众多老师的支持和鼓励。这里要特别感谢我院国际交流处的姜开君老师，是她帮我们组织了教材的专家咨询和审读。参与教材审读的专家有我院的姜开君副教授、北京工业大学的宋格兰副教授、北京第二外国语学院的闫嵘教授和杨欣然副教授，这四位专家对教材的后续修改提出了宝贵的建议。在教材完成后，我们邀请了陕西师范大学的马振铎教授对本书内容进行了二次评审，马教授不辞辛劳地通读了书稿，不仅逐章提出了非常有价值的修改建议，而且还对内容整体做了精致而客观的评价。在此，我们向各位领导和专家表示深深的谢意。在编写这本教材的过程中，我们参考了国内外相关的专著、学术论文以及网络资源，也引用了其他学者的一些观点，在本书的参考文献中已经注明了这些文献的相关信息，在此对有关作者表示感谢。此外，文中各部分内容所用范例和范文，均来自我院历届优秀毕业生，在此感谢他们为本书所做出的贡献。

毕业论文写作是一个严肃的话题、学术的话题，也是一个具有实际意义的话题。实践证明，要将英语专业本科毕业论文写作的方方面面在一本教材中道尽是很难的，因为我国高等院校英语专业是一个多学科交叉的综合专业，它涵盖了语言学研究、文学研究、文化研究、翻译研究、教学研究、商务英语研究等多个学科门类。内容的深度与广度、学术的规范与高度、实际使用中的可操作程度、语言表述风格的协调等对于编者都是实实在在的考验。尽管我们做了诸多努力，书中肯定还存在有待改进之处，敬请使用本教材的老师 and 同学们提出宝贵的修改建议，以帮助我们进一步修改完善本书内容。

编 者

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# 第 1 章



## 英语专业本科毕业论文

### 1.1 引言 ◀◀

毕业论文，也称学位论文，是高等院校毕业生用以申请相关学位而提出的作为考核或评审依据的学术文章。学位论文可以分为学士、硕士、博士三个等级。在本书中，“论文”指的是英语专业本科学生为获得学士学位所需要撰写的毕业论文。

需要说明的是，在英式英语中，这类论文被称为“dissertation”，而在美式英语中，却被称为“thesis”。但无论是“dissertation”还是“thesis”，指的都是“学位论文”（黄国文，2012）。在大学学习期间，学生有时需要提交“课程论文”和“学期论文”，在英语中它们分别被称为“course paper”和“term paper”。所以，请记住不要把学生在校写的毕业论文称为“paper”。

在本章中，我们首先阐述毕业论文写作的必要性和重要意义，目的是让大家严肃认真并且信心满满地迎接毕业论文写作；然后，谈谈毕业论文的 9 个组成要件及相关的规范和要求，这将会使同学们对毕业论文的构成有一个全面的、清晰的认识；最后，我们将说明毕业论文写作常见的问题。

### 1.2 毕业论文写作的必要性和重要意义 ◀◀

毕业论文写作是高校英语专业教学计划的一个重要组成部分和实践环节，是培养学生综合运用所学的基础知识、基本理论和基本技能，进行初步的科研训练，提高独立工作能力，达到培养目标的一个不可或缺的重要环节。《高等学校英语专业教学大纲》明确指出“毕业论文是考查学生综合能力、评价学生成绩的一个重要方式”（Net.1.）。此外，“毕业论文要求文字通顺、思路清晰、内容充实，有一定的独立见解。评分时除了考虑语言表达能力外，还应把独立见解和创新意识作为重要依据”（ibid.）。可见，毕业论文的写作既是总结、检验、深化所学专业知识的過程，同时也是训练学生分析和解决问题能力的过程，能为学生毕业后继续学习和运用所学知识进行更高层次的研究奠定基础。“各校要加强对學生撰写论文的指导和评审，使之对学生真正有所裨益，防止流于形式”（ibid.）。因此，毕业论文是每一个本科生在毕业之前最重要的一项专业实践训练，必须认真对待。

毕业论文最基本的意义在于它是评估学生的学业成绩的重要方式，从而能为学生取得学士学位提供凭证，但是毕业论文写作的意义远不止于此，还具有其他的重要意义。

(1) 毕业论文写作可以总结、检验、运用、深化学生在大学期间所学的各种专业知识和技能,是对学生的知识和能力的一次全面考核。撰写论文与英语专业的课程学习紧密相关、相辅相成。论文准备与撰写的相关技能应在大学阶段的较长时间里得到多次训练,方能使毕业前夕的论文顺利地、高质量地完成。英语专业本科学生在近四年的专业学习中,已经修完了各门专业课,如语言学、文学、英美文化、翻译、教学法以及商务英语等,掌握了各门课的基础知识,并对各学科方向的发展现状和趋势有所了解。这些知识为他们撰写毕业论文打下了一定的基础,但这还很不够。专业课程的学习从总体上说还是一个被动地接受过程,而撰写毕业论文是一个创造过程,学生需要将所学知识消化、吸收、运用、提高,还需要广博的知识面,并且主动运用自己的分析能力、总结能力、逻辑思维能力和写作能力。所以说,毕业论文是对学生学习成果的综合检验,比每门课的单科考试更能反映出学生的实际能力和水平,是对学生学习和实践能力的综合训练和提高。

(2) 毕业论文写作可以深化学生对专业知识,特别是对某一课题的认识。英语专业本科阶段一般开设有英语语言学、英美文学、翻译理论与实践、跨文化交际、教学法、商务英语等各个方向的基础课程,但这些课程只能教给学生某一研究方向或课题的最基本、最核心的知识点,不可能十分全面或深入。学生一旦确定了研究方向和论文题目之后,仅靠课堂上学习的基础知识来撰写论文是远远不够的,甚至可能无从下手。这时就需要大量地收集相关资料,研究分析资料,认真思考和消化相关观点,整理论点论据,拟定论文提纲,并在这个过程中不断地和指导老师交流讨论,最终撰写成文。可见,经过这样一个严谨、科学、诚实的治学过程之后,学生对其课题的认识必将有一个质的飞跃。比如,有学生撰写了题为“《老人与海》的现代主义解读”(黄国文,2012)这样一篇论文。除了细读小说文本之外,在研究过程中,该学生还阅读了大量的文艺理论方面的文献,如文学批评的本质和门类,现代主义文学理论,现代主义文本解读的层次等。《老人与海》是一部文学经典,前人的研究已是数不胜数,而且卓有成效。学生还必须对前人的研究做一番了解,才能最终找到自己论文的突破口或切入点,以避免重复研究,从而实现大纲要求的“创新”。在大量的阅读和认真的思考之后,学生自然会对《老人与海》这部作品及相关的文艺理论,对文学批评的方法有更加深刻的领悟。这正是论文写作的重大意义所在。

(3) 毕业论文写作可以提高学生的逻辑思辨能力。近些年来,英语专业学生思辨能力的欠缺已成为外语教育界关注的焦点之一。许多学者的研究(黄源深 1998, 2010; 李莉文, 2010; 潘红, 2010; 文秋芳等, 2010; 孙有中, 2011)表明,英语专业过于注重学生的听、说、读、写、译等语言技能的训练,忽略了学生思考问题的能力,特别是批判性独立思考能力的培养。所以,很多专家急切呼吁提高英语专业学生的思辨能力。毕业论文写作虽然在大学四年级才进行,但也是专业教育很重要的一部分。只要学生认真对待,按照计划扎扎实实地推进,将会是提高思辨能力的绝好机会。与一般的论文相比,毕业论文内容丰富、逻辑性强、前后连贯、说理透彻。学生撰写一篇毕业论文,需要理解、吸收相关理论知识,深入思考这些理论对论文论点的支持理据,然后深入浅出、条理清晰、层层论证。因此,完成一篇毕业论文可以促使学生进行严谨的逻辑思维,从而提高他们的思辨能力。

(4) 毕业论文写作可以提高学生的英语写作水平。一篇论文的质量不仅取决于其内容,还取决于语言表达是否清楚流畅。毕业论文属于正式文体,因而在语言上力求正式、准确、客观、简练、富有逻辑性。学术论文从布局谋篇到段落句子之间的衔接,从提炼主题句到

每个句子的结构、用词，乃至标点符号的使用都讲究严格的规范，这些都需要学生有较扎实的语言功底。如果语言基础不扎实，写出的文章就会词不达意、语不成句、逻辑不清、结构混乱。所以，从某种意义上说，毕业论文的写作既是对学生的语言表达水平的一次考核，也是提高英语写作水平的一次难得的机会。

(5) 毕业论文写作可以培养学生的初步科研能力和独立工作的能力。大学生平时“读书”，在很大程度上只是被动地吸收他人创造的知识，而在撰写毕业论文的过程中，学生要综合运用专业知识和技能，发挥自己的主动性和创造性。由于本科生撰写毕业论文大多是他们初次撰写学术论文，客观地讲，总体水平有待提高。或者说，要写出一篇真正高质量的毕业论文，对于普通本科生来说并非易事。但在论文写作过程中，学生基本上了解了学术论文的写作规范和技巧，提高了英语写作水平，培养了逻辑思辨能力，确立了严谨、科学的研究态度和独立、刻苦的钻研精神，而所有这一切正是研究者所应具备的能力和素质，将为其今后从事其他工作打下良好的基础。

## 1.3 毕业论文的组成要件 ◀◀

英语专业本科的毕业论文一般由以下 9 个部分组成。

- (1) 封面。
- (2) 诚信承诺。
- (3) 致谢页。
- (4) 英文摘要与关键词。
- (5) 中文摘要与关键词。
- (6) 目录。
- (7) 正文。
- (8) 参考文献。
- (9) 参考文献翻译。

下面简要介绍以上各组成部分的内容和要求。

### 1.3.1 封面

毕业论文封面要求为英文封面，包括论文题目、论文作者、指导老师姓名、院系学校名称、论文完成日期等。论文题目应能概括整个论文最重要的内容，简明、恰当、引人注目。题目应力求简短，一般不超过 20 字，必要时可以使用副标题。具体格式请参考本书附录 D 中的论文封面样式。

### 1.3.2 诚信承诺

诚信承诺是指作者声明此项研究工作是由其本人在老师的指导下独立完成的，无抄袭剽窃行为，如出现著作权等法律纠纷可用于追责的文书。具体格式请参考本书附录 D 中的“诚信承诺”样本。

### 1.3.3 致谢页

毕业论文中的“致谢”是指作者以书面形式对帮助自己完成论文的人所表示的谢意，它是论文的有机组成部分。这些帮助可以是导师辛勤的指导和批阅，家人和同学的大力支

持或原著作者对引文的授权许可。致谢的顺序一般是由主到次、由个人到集体,主要针对那些提供过直接帮助的个人或机构。此外,致谢要真挚、简练、恰到好处,既不要夸大其词,也不要轻描淡写。“致谢”不仅能反映论文的写作背景及作者严谨的学术态度和良好的学术道德,而且在一定程度上还能反映作者的学术水平。

### 1.3.4 英文摘要与关键词

论文摘要是对论文内容简明而全面的概括或总结,可以帮助读者迅速了解文章内容。随着国际检索系统的出现,摘要逐渐成为一种信息高度密集、相对独立的文体。从某种程度上说,摘要的受关注率比论文本身大很多。一篇论文能否引起读者的兴趣,能否受到重视,其摘要的内容和写作水平会起到很大的作用。

需要注意的是,摘要一般是在完成整篇论文、对论文有了清晰的整体把握之后才写成的。有的同学论文还未写之前就撰写摘要,这种做法是错误的、不科学的。

摘要的字数不宜过多,英文摘要一般在 150~300 个词之间。内容通常由以下四个部分组成。

- (1) 研究目的与意义 (Objective and Significance)。
- (2) 研究的内容或过程 (Content or Process)。
- (3) 主要研究结果或发现 (Results)。
- (4) 主要结论和相关启示 (Conclusion and Implications) 等。

一篇好的摘要应具备以下特征。

- (1) 精确性,即要如实展现论文的写作目的和要旨。
- (2) 客观性,即不添加对论文的主观评价。
- (3) 可读性,即连贯流畅,易于理解。最重要的是,注意重点信息的提炼和语言的精练。

每篇论文的摘要之后应给出 3~5 个关键词。关键词是最能表达论文的主要内容和信息的词或词组,它们的提取主要是便于读者选读及检索人员编制二次文献索引。所以,关键词的选取要遵循以下原则。

- (1) 关键词不宜过多,一般为 3~5 个。

(2) 选取最能反映论文的主要内容或文中使用频率最高的词语,使读者能够据此判断论文的研究内容。

- (3) 选词要精练,多用名词;同义词、近义词不能并列为关键词。

(4) 大多从标题中产生,但如果有的标题没有提供足以反映论文主旨的词,则需要从论文的摘要或正文中提炼。

- (5) 应采用正式的、有专业特征的词语,而不是一般性的通用词。

### 1.3.5 中文摘要与关键词

中文摘要一般在 200~400 个词之间。就意义的表达而言,中文摘要与英文摘要应保持一致或对应,不能出现内容对应缺失的情况,但这并不是说中文摘要与英文摘要是句对句的翻译,而是意义的对等。

中文关键词应与英文关键词对应。

下面给出一个摘要的范例,以便读者对摘要的内容、语言、规范、要求等有更为直观的了解,从而加深对摘要写作的认识。这篇论文的题目是 “English-Chinese Translation of

Song Lyrics”（歌词的英汉翻译）。

## Abstract

(1) Although English songs have been receiving popularity among the Chinese, research findings concerning translation of songs have hitherto been scarcely available. (2) This thesis attempts to provide an insight into the domain of English-Chinese song lyrics translation in the light of functionalist translation, stressing the impact of music on the application of translation strategies in the translation process. (3) Whether the translated lyrics suit the music determines the quality of the translation. (4) There are three main parts in elaboration in the thesis, the features of song lyrics, the strategies of English-Chinese song lyrics translation, and the noteworthy particulars in the translation process. (5) After the discussion, the thesis comes to a conclusion as follows: translating song lyrics is a type of purposeful activity. (6) The translated song lyrics should be best aimed at fitting for listening and singing. (7) Unless such a purpose is achieved, the value of lyrics translation will not be fully realized. (8) The present study has the following implications for translators in this field. (9) Only by always embracing the intended communicative purpose and endeavoring to adapt lyrics to music appropriately can the translator succeed in accomplishing the function of his translation, thus reproducing an appealing work of art.

**Keywords:** song lyrics; translation; functional approaches

在上面这篇摘要中，开篇句子(1)介绍了论文的研究背景，句子(2)和(3)阐明研究主题和研究目的，句子(4)说明本论文主要论述的内容，句子(5)、(6)、(7)指出本论文的结论，句子(8)和(9)阐述论文的启示和意义。内容、字数符合要求，用语比较正式、客观。

## 摘 要

尽管英文歌曲在中国广受欢迎，但迄今为止有关歌词翻译的研究论著仍然甚少。本文旨在从功能翻译的角度对英汉歌词翻译进行研究，尤其强调音乐性对歌词翻译策略的影响。翻译的歌词是否合乐，即译配的优劣，决定着歌词翻译的质量。

本文主要从三个方面进行论述：歌词的特征、英汉歌词翻译的策略、译者在歌词翻译过程中应注意的问题。通过研究，本文的结论是：歌词翻译是一种有目的的行为，译作应力求适合于听和唱。不能达到该目的，则意味着译作的价值未能充分实现。本文对译者的启示是，译者应时刻以歌词翻译的交际目的为导向，努力做好译配工作，才能真正实现译作的功能，奉上一份具有创造性的艺术佳品。

**关键词：**歌词 翻译 功能派翻译理论

上述中文摘要与英文摘要意义对等，符合要求。关键词也与英文关键词一一对应。

另外，需要特别提醒的是，只要认真研读，细心观察，就会发现摘要写作中经常使用一些比较固定的句型。建议读者用心收集这些语句，掌握其用法。这样就能使自己论文的语言

表述体现学术性、专业性，不再显得随意或口语化。下面介绍一些英文摘要的常用句型。

在介绍论文的论题或研究内容时，常用句型有：

- (1) This thesis aims to (aims at) ...
- (2) This thesis focuses on ...
- (3) This thesis attempts to ...
- (4) This thesis is an attempt to study ... by applying ... (theory)
- (5) Starting from ..., the thesis examines ...
- (6) The thesis makes an ... approach to ...
- (7) The thesis conducts a comparative study of ...
- (8) The thesis explores (the relationship between ...)
- (9) ...The present thesis addresses this issue by examining ...
- (10) The thesis applies the basic notions of ... (theory) to justify ... It also probes into ...

在说明论文的结论或观点时，常用句型有：

- (1) It argues that ...
- (2) It is argued that ...
- (3) It points out that ...
- (4) The thesis concludes by arguing that ...
- (5) The author finds that ...
- (6) The author of this thesis holds (contends) ...
- (7) For this purpose, the thesis recommends a number of ... approaches, such as ...

### 1.3.6 目录

目录的作用是呈现整篇论文的框架结构，使读者能够迅速、清晰地了解论文的主体内容和各部分之间的关系。此外，目录还可以清楚地展现论文的结构是否合理以及各部分比例是否协调。

目录中的标题一般采用名词或名词短语的形式，并力求简洁、统一。

### 1.3.7 正文

正文一般由三部分组成：引言、论文主体和结论。关于论文各部分的写作，皆有一定的规则可循，具体内容请参见本书第5章。

### 1.3.8 参考文献

参考文献是为撰写论文而引用的有关文献的信息，又称文献目录，英文一般简称“References”或“Bibliography”。论文写作前需要阅读大量的参考资料，有学生将自己曾经看过的所有资料都罗列在参考文献中。从严格意义上讲，只有那些论文正文中被提及或被引用过的文献才算作该论文的参考文献。对于英语专业本科毕业论文而言，参考文献要求至少有10条，其中外文参考文献不得少于5条。根据笔者的指导经验，很多英语专业学生都觉得在论文中引用10处、列出10个有效的参考文献不是一件容易的事情。

参考文献是学术论文必不可少的一个组成部分。毕业论文属于学术论文，因此对论文中所引用的观点、提到的材料等都必须一一注明出处。一方面，说明这些观点、材料都是



有根有据的,不是信口开河或者道听途说的;另一方面,一些权威的观点和证据可以为我们的论述提供理论上的支持或观点上的佐证。这是学术性论文的严谨性的一个重要体现。所以,严格地说,学术论文一定要有参考文献,因为有无参考文献是区分学术论文和非学术论文的一个重要标志。

引文、注释和参考文献的格式是学术论文格式规范里很重要的内容。参考文献的排列方法依据不同的格式体例有不同的样式。目前,中外学界普遍认可并广泛使用的学术论文格式体例主要有三种:美国现代语言学会格式(Modern Language Association Style, MLA Style)、美国心理学会格式(American Psychological Association Style, APA Style)和芝加哥格式(Chicago Manual Style)。

美国现代语言学会格式(Modern Language Association Style, MLA Style)多用于社会科学和自然科学类学术论文中,现在也广泛用于人文学科。该格式的基本体系为“文中夹注+文献目录(Parenthetical note + works cited)”。具体细节参见 MLA Handbook for Writers of Research Papers。

美国心理学会格式(American Psychological Association Style, APA Style)的使用范围与现代语言学会格式基本相同,但自然科学类论文更倾向于使用美国心理学会格式。该格式的基本体系是“文中夹注+文献目录(Parenthetical note + references)”。具体细节参见 Publication Manual of the American Psychological Association。

芝加哥格式(Chicago Manual Style)是一种既有一定权威性又不局限于某一学科的研究论文格式,被社会科学及许多其他专业本科生和研究生广泛采用。

无论采用哪种格式体例,每个文献条目所包含的信息基本上是一致的:作者、书名或文章名、出版社信息或期刊名、出版或发表的年份日期等。需要提醒的是,无论采用哪种格式,一定要注意参考文献整体的一致性。混合使用几种格式体例是一种不专业的表现。

英语专业本科毕业论文的参考文献,不仅包含英语文献,还包含众多汉语文献及网络文献。一般的做法是,将英语文献放在最前面,然后是中文文献,最后是网络文献。中英文文献不需要使用序号,按照中英文字母顺序排列即可。网络文献一般按照在文中出现的顺序排列,序号为 Net.1、Net.2 样式。参考文献格式要规范,内容要翔实准确。论文的参考文献充分反映了作者科研态度是否严谨。这里对于参考文献仅做简要介绍,关于各类文献的呈现方式,请参见本书第7章内容。

### 1.3.9 参考文献翻译

学生在提交毕业论文定稿时,须将论文参考文献中至少一篇外文文献的部分内容译成汉语。设置这一环节的主要目的是培养学生在论文写作过程中查阅外文文献的习惯,检查学生阅读外文文献的水平,同时也是对学生的“翻译”技能的考核。参考文献翻译的具体要求是:

- (1) 译文不少于 1000 汉字,内容正确,语言流畅。
- (2) 该外文文献与论文选题直接相关。
- (3) 该外文文献由英美人士(Native Speakers)撰写。
- (4) 该外文文献是论文所涉及领域主流的、权威的专著或文章。

## 1.4 毕业论文写作常见的问题

本科毕业论文写作包括多个环节，学生在写作过程中会遇到各种难题，更易暴露各种各样的问题。学生在论文写作中经常出现的主要问题如下。

### 1.4.1 论文的选题

论文的选题是否合理是关系到整篇论文能否顺利完成的一个重要因素。根据笔者的经验，英语专业的学生在选题过程中存在的问题有：如何发现适合自己的论题？选题时应遵循什么原则？选题或定题应经过什么步骤？有的同学的选题过大或过于宽泛，无法在有限的篇幅内把论点论述透彻。有的同学的选题过小，达不到毕业论文应有的综合训练的目的。有的同学的选题陈旧，缺乏新意，很难写出有质量的论文。有的同学在选题时标新立异，选择了罕见的题目，后来发现很难找到相关资料，写作时缺乏素材。有的同学中途换题，延误了论文的写作进程，浪费了时间精力，到最后焦躁不安，很难顺利地完

### 1.4.2 资料的收集与运用

随着网络的日益普及，很多学生偏爱利用网络查找资料。但由于有些学生对待论文的态度不端正，为图方便省事，他们往往只在某些大众媒体上搜索资料作为论文的论据。此类媒体因其开放性广受欢迎，但也正因其开放性，缺乏严格的审核制度，内容的严谨和准确性很难保证，而以此作为论文的素材或论据，实在有“差之毫厘，谬以千里”之嫌（黄国文，2012）。所以，我们必须注意，网络上虽然信息量大，搜索简便，但相当数量的网络资源的可信度较低，学术价值不高。一般而言，指导老师都会在论文写作的初期给学生讲授收集学术性资料的途径和技巧。

另外，有的同学对于收集的各种资料没有进行认真的阅读、摘录、思考和消化，而是直接“复制”和“粘贴”，七拼八凑地完成论文。必须指出，这是一种剽窃、造假行为，应予以严厉的处罚。

毕业论文属于学术论文，需要大量来源可靠的理论依据和学术支撑。那么，什么资料才是可靠的学术性资料呢？正规的出版物，包括专著、词典、百科全书和学术期刊等，均为可靠的、有较高可信度和学术价值的资料。同学们对这些资料要仔细地研读、分析、筛选和整理，才能从中提取有效的内容用于自己的论文写作。

### 1.4.3 开题报告的撰写

开题报告是毕业论文写作的重要环节。开题报告应该包括哪些基本要素？开题报告的核心内容有哪些？开题报告是什么样的？文献综述应该如何写？对于以上问题，学生多有理解误区。开题报告的写作过程是充实文献、梳理思路和拟定写作计划的过程，应给予足够的重视。

### 1.4.4 提纲写作的问题

拟定一份完整详细的写作提纲将帮助学生理清思路、把握论文结构、安排论文写作时间。但有些学生并未认识到写作提纲的重要性，以为列提纲就是列出论文的章节标题而已。这种认识是错误的，也是导致论文后期各种问题（包括内容、结构、语言等方面）集中暴露的根本原因。

### 1.4.5 论文正文的写作问题

在论文正文的写作中,常见和突出的问题表现在以下三个方面。

#### 1. 语法、句法错误较多

学术论文的遣词造句要求缜密严谨,但有些学生的英语语言基本功不扎实,因而造成论文中普遍存在用词错误、搭配不当、时态混乱、句子结构支离破碎、句子之间无关联,以及明显的中国式英语(chinglish)等问题。

#### 2. 论证逻辑不清楚

有些学生的逻辑思维欠缺,对材料缺乏比较、分析、归纳、综合的能力,只是将各种材料简单地拼凑和堆积,以至于句与句、段与段之间衔接松散、逻辑不清,无法做到论点明确、论证有力。

#### 3. 文体风格不符合论文要求

毕业论文学术性较强,要求使用准确、精练的语言或叙述、分析、议论。然而,有些学生的论文偏离了学术论文的语体风格,遣词造句过于口语化,或者将毕业论文的语体与一般文章甚至是文学作品的语体混为一谈,堆砌华丽辞藻,常用描写手法,随意主观抒情,背离了毕业论文应具备的文体风格。

### 1.4.6 各类论文的写作

英语专业毕业论文往往涵盖英语语言学、英语文学、跨文化交际、英语翻译、英语教学和商务英语研究等多个研究方向。那么,各个研究方向都可以做哪几方面的选题?可以采用何种研究方法?研究的步骤是否有相通之处?对于这些问题,学生的概念往往是模糊的。本书第6章将详细介绍各类论文的写作特点和方法,并附有范文参考。

### 1.4.7 答辩的准备问题

论文答辩是毕业论文写作过程的最后一个环节,答辩的成功与否决定着论文的最终成绩。有些学生对论文答辩认识不足、重视不够,常见的疑问是:答辩的目的和要求是什么?答辩的流程是怎样的?答辩之前要做哪几方面的准备?该如何准备?答辩过程中应注意哪些问题?如果没听清老师的提问,或者对某个问题缺乏了解,在场上应该怎样应对?本书第8章将集中回答这些问题。

## 1.5 结语

在本章中,我们首先强调了英语专业学生撰写毕业论文的必要性和重要意义,因为学生对毕业论文写作的主观重视程度直接决定了论文最终成文的质量。希望同学们端正态度,充满信心,一定能顺利完成论文写作。然后,本章重点讲解了毕业论文的9个组成部分及其规范和要求。最后指出了学生们在毕业论文写作过程中常出现的一些问题,这些问题的答案或解决办法都可以在本书后续的章节中找到。

# 第2章

## 选题与资料收集

### 2.1 引言

毕业论文撰写的第一步就是选题，即选定论文的题目。选题是一个至关重要的环节，因为选题的好坏往往直接影响论文的质量，也在很大程度上决定论文能否顺利地进行下去。如果毕业论文的题目过大或过难，学生就难以完成写作任务。反之，一个过于容易的题目又无法锻炼和提高学生的科研与学术能力，达不到写作毕业论文的目的。因此，一个难易适中的选题对于顺利完成毕业论文具有极其重要的意义。不夸张地说，确定一个合适的选题就等于完成了论文写作任务的一半。

在选题之前，我们首先要搞清楚课题、论题、题目这三个概念。

(1) 课题通常是指某一学科重大的科研项目，可以分为院校级、省市级、部级、国家级等不同级别，其研究范围比较宽泛，可以包含许多论题。比如，“英汉语言与文化对比研究”是一个大课题，其中包括若干论题，如“英汉语句法比较研究”、“英汉习语及其文化内涵研究”、“英汉外来词对比研究”、“英汉委婉语及其文化色彩对比研究”、“英汉语修辞手法及其思维方式比较研究”、“英汉词汇文化内涵比较”、“英汉新词语比较研究”，等等。

(2) 论题限定了研究的范围、对象、目标、中心和方向，是科学研究所围绕进行并试图解答的某一具体问题，属内容要素。

(3) 题目则是指论文的标题或名称，其研究范围一般比论题要小，它是根据内容确定的，可以随时改换，随意性较大，是形式要素。比如，学生选定的论题是“英汉新词语比较研究”，就可以选择很多具体题目来写论文，如“论英汉新词语的构词特点”、“论英汉新词语构词手段的异同”、“英汉新词语及其产生途径研究”，等等（高奋，2004）。

### 2.2 选题原则

在选题时，我们应遵循哪些原则呢？总的来说，应当遵循客观上有价值、主观上有条件这两个基本原则。

#### 2.2.1 客观上有价值

论文的价值包括实用价值和理论价值，这两方面的内容是统一的，最终目标也是一致

的。选取有实用价值的课题，就是要着眼于现实和社会发展的需要，讲求社会效益，实现科学研究服务于社会的目的。所谓理论价值，是指论文应具有科学性、学术性、理论性、创新性，论文内容要体现作者自己的独立见解。因此，我们在选题时，首先要注意选题的实用价值，选择具有现实意义的题目。所选的题目，应是与社会生活密切相关、为大多数关心的人关心的问题，特别是某一领域中亟待解决的问题，这类问题往往反映着一定历史时期社会生活的重点和热点，与人们的工作和生活息息相关。我们运用自己所学的理论知识对其进行研究，提出自己的见解，探讨解决问题的方法，不仅能使自己所学的书本知识得到一次实际的运用，而且能提高自身收集资料、分析问题和解决问题的能力。例如，“大学生英语听力理解常见障碍及应对策略”选题，就是从目前中国大学生在英语学习中普遍反映的听力理解困难入手，对国内大学生在英语听力理解方面的常见障碍进行分析研究，并提出有针对性的应对策略，以帮助大学生提高英语听力理解水平，因此具有较大的实用价值。再如，“从英汉委婉语对比中透析中西文化差异”一题，通过对比分析英汉语言中委婉语使用的异同，分析中西方两种不同的文化心理，从而帮助国人加深对中西文化差异的理解，对跨文化交际有一定的指导意义，也是一个比较理想的选题。

另外，选择现实性较强的题目，还要考虑其有无理论价值和学术价值，即是否值得研究，有无普遍性的意义，能否进行理论的综合，从个别上升到一般，从具体上升为抽象，以及研究的结果是否具有理论和学术上的贡献。有些选题缺乏学术论文的客观性，缺乏普遍意义，如“我的生活哲学”、“大卫·贝克汉姆的生平”等不具备理论和学术价值的题目，我们在选题时应避免。此外，强调选题的实用价值，并不等于急功近利的实用主义，也绝非提倡选题必须有直接的效益作用。有些题目不一定直接与现实挂钩或有直接的实际用途，如对历史问题、典籍问题的研究，但从发展的眼光看，这些题材能够表示某种趋势，或对现实有借鉴的作用，因而也就具有理论价值，这样的题目当然是可以选的，如对莎士比亚戏剧的研究或古希腊悲剧的研究等。

### 2.2.2 主观上有条件

毕业论文选题除了要考虑它的实用价值和理论价值外，还要考虑作者的主观条件，即个人的学术专长、业务水平、科研能力、兴趣、所处的环境条件等因素，以使自己能顺利地完成论文写作。

综上所述，我们在选题时要注意：论题无论在理论或现实意义上应该是有价值的，在现有的学术条件下和个人的研究能力内应该是可行的。

## 2.3 发现选题 ◀◀

要发现有新意的题目，首先要善于观察。社会生活就像一个变化无穷的“万花筒”，各个领域、各个方面的事物及其矛盾都在不断地运动、变化、发展着，旧的矛盾解决了，新的矛盾又产生。我们要善于观察，勤于思索，从大处着眼，小处入手，寻找适合自己撰写的且具有一定新意的毕业论题。其次，要善于积累和分析资料。歌德曾经说过，理论是灰色的，生活之树常青。过去已经形成的理论，包括教科书上的一些观点，随着实践的发展、研究的深入，还可以进行再认识。这就要求我们平时注意收集资料、积累资料、分析资料，对相关问题要弄清楚别人写过什么东西，有什么论点，有何争论及分歧的焦点是

什么,目前国内外对这个问题研究的进展情况以及发展趋势如何,等等。在深入研究已有成果的基础上,将收集到的材料做一番加工整理的工作,把别人认识的成果作为自己的起点,在前人和他人认识的基础上发现问题,找准切入点,进而写出有自己见解的论文。

### 2.3.1 以兴趣为主导

事实上,如果学生不能在较短时间内选定题目或在写作时频繁更换选题,在很大程度上是因他们平时没有科研的兴趣所致。因此,在毕业论文指导初始阶段,指导教师应该依据“兴趣主导原则”来引导学生选择适合自己的论文题目。

在选题过程中,有的学生已经尽早地根据自身的兴趣爱好明确了基本的选题方向。例如,热爱英文影视作品的同学会写自己热衷的英文电影或系列剧,如电影《阿甘正传》、《真实的谎言》,美剧《越狱》、《生活大爆炸》,英剧《唐顿庄园》等;喜欢英文歌曲的同学可能会从英文歌词研究或者某种音乐风格所反映的英美文化等方面着手选题;喜欢体育的同学也可以写关于体育赛事转播英语、NBA 篮球文化等题目;钟爱文学的学生可以就自己感兴趣的某位作家或某部英语文学作品进行研究;喜欢翻译的同学可以就自己平时积累的一些材料来组织选题,如电影名翻译、歌词翻译、菜名翻译、谚语翻译、口译等都是可以根据材料的不断更新而不断扩展的选题。

此外,对于一些没能找到研究兴趣点的同学,教师在课堂上也可以通过对每一个论文方向的介绍来拓展学生的选题思路,建议老师在论文指导课上多引荐一些参考题目,帮助学生在备选题目中寻找到自身的兴趣所在,最终确定自己论文的选题。

### 2.3.2 挖掘新题

首先,文贵出新。论文最忌随人之后,人云亦云。只有言他人所未言,补他人所不足,领他人之所先,才可能写出优秀的论文。因此,选题时要尽量避免大众化、一般化,应力求新颖。要把握时代脉搏,善于捕捉社会热点、难点问题,从大众普遍关心的事物入手,选择一些有现实针对性的题目。例如,现任美国总统、美国历史上第一位黑人总统奥巴马,他的演讲风格曾赢得人们的一度热议,对其演讲风格进行研究不失为一个不错的选题方案。

其次,选题信息要前沿。要关注本学科某一领域的信息更新,使所选的题目具有前沿性。例如翻译专业,可选择 2010 年在上海召开的世博会的英文材料进行分析。这样,既保留了论文的专业性,又体现了材料的时代性,而且具有一定的实践参考价值。

再次,角度要新。“一树梅花万首诗”。同一件事物,不同的人有不同的看法;对同一写作对象,角度不同,写法各异,表达效果截然不同。要想使自己的论文给人以耳目一新的感觉,在选题时就必须从多角度构思,见人所未见,独辟蹊径。例如,《鲁豫有约》是广大观众比较喜欢收看的谈话节目,陈鲁豫的主持风格也曾引起人们的关注和讨论,因此,如果从跨文化的角度,比较陈鲁豫与美国王牌谈话节目主持人奥普拉的主持风格,也不失为一个角度新奇、构思新颖的题目。总之,不断探索新的论题是一个充满挑战的快乐过程,也只有这样,才能在论文写作过程中凸显个性,给人以新鲜感。

### 2.3.3 旧题新作

“选题陈旧”是学生论文写作中的一大诟病。对于一些大众化的选题,学生可以通过转换原有题目的写作角度、更新论述材料或者跨学科立题来产生新题,也不失为更新选题的一个策略。

首先,更新写作角度。就文学方向选题而言,文学题材的旧题新作似乎很难,我们不妨换一个新视角看问题。例如,现在许多经典名著都有动漫版本,把原著与动漫版比较,或者比较名著的不同译本,也是旧题新作。例如,“从美国电影《花木兰》看中西文化融合”;“影片《傲慢与偏见之简·奥斯汀》与原著《傲慢与偏见》的风格比较分析”;“从《呼啸山庄》中译本看孙致礼的翻译辩证观”等。

其次,要善于更新论述材料。例如,英语中的颜色词是比较陈旧的选题,不过,随着时代的发展,相关的英语词汇也在不断更新扩展,材料更新,也可达到“旧瓶装新酒”的效果。举例说明,颜色词的新题材有欧洲的“橙色革命”、2008年泰国的红衫军与黄衫军……在台湾,蓝色代表国民党,绿色代表民进党,橙色代表亲民党,而红色则代表施明德的红衫军。我们如果能结合这些新的材料,对英语颜色词的含义再进行深层的分析和论述,将会写出一篇质量较高的论文。

再次,探索跨学科选题。如果一个英语专业的学生在论文选题之前连续当了两年的英语家教,那么他对“因材施教”、“高原现象”中的某个方面可能会有很深的体会。要是只在英语专业英语教学法的范围内选题,他可能选出“中学英语作业的布置、批改与讲评”之类的题目。如果他能把在“教育学”、“心理学”所学到的理论与自身当家教的实践结合起来,那么选出“从英语家教看因材施教”之类的题目就顺理成章了。

## 2.4 拟定选题

目前,国内高校英语专业的毕业论文选题方式可大致分为学生自拟题目与自选给定题目两种。下面首先介绍一些学生自拟题目的方法。

### 2.4.1 自拟

当学生根据自己的主观条件,即个人的学术专长、专业水平、兴趣和文献资料的积累等因素,选定了具有一定研究价值的论文研究方向时,还要考虑到由于时间、经验和能力等局限,必须选择具体一点、突破口小一点的论题,即“小题大做”,因为题目涉及的范围越小,越容易写得深刻,从而使论文更有说服力。如果选题过大、过宽,论述起来面面俱到,就不能深入细致地进行研究。而且,短短几年的大学学习,对绝大部分学生来讲只是掌握了一些基本理论,要独立地研究和分析一些大问题,还显得理论准备不足,再加上缺乏写作经验,很容易淹没在繁多的材料堆里不能自拔,乱了头绪,最终论文很可能言之无物、肤浅空洞。例如“Language Must be Taught in Culture”这样的选题,就过于宽泛,很难下笔。如果修改为“The Importance of Culture Teaching to Learners of English”,不仅论证角度小、针对性强,而且容易深入研究。再如,有的同学的选题是关于英语俚语的研究,涉及的内容也过于宽泛,不妨试图把大题目进行细化。例如,俚语的研究可以包括俚语的起源、俚语的风格、俚语的修辞、俚语的翻译、俚语的文化解读、俚语的交际用途、俚语中不同类词语的文化内涵等。做好划分之后,有的时候还需要层层分解,才可以找到更加明确精细的选题。

下面试举翻译方向的论文为例。

(1) 翻译与文化:可以从宏观和微观两个方面考虑。在宏观方面,一般从翻译在目的语社会文化中的生产、接受,翻译在目的语社会文化中所起的作用等角度讨论,可以从社

会、文化、历史、交际的视角切入,阐述为什么有这样的译文,如严复的翻译、林纾的翻译、傅东华翻译《飘》时为什么使用归化的手段、鲁迅翻译的策略、翻译材料的选择等。在微观方面,可以讨论语言文字所承载的文化内容和内涵如何在翻译中表达,如文化负载词的翻译策略等。

(2) 翻译与语言学理论:可以从篇章语言学、功能语言学(如韩礼德的系统功能理论等)、对比语言学、心理语言学、交际语言学、文化语言学等方面考虑选题。例如,功能语言学和篇章语言学中讨论的衔接与连贯及其翻译,也可以从讨论它们在英语和汉语中的差别入手,进一步讨论它们在翻译中的处理,主位、述位的推进极其在翻译中的体现,英语汉语对比及其翻译策略,等等。

(3) 翻译与文学:主要从艺术的角度讨论文学翻译中的问题。

(4) 应用翻译:主要从特殊用途英语(如商务英语、科技英语、旅游英语等)方面讨论对在这些特殊领域中涉及的翻译问题如何处理,如旅游宣传资料的翻译等。

(5) 译文对比:可以是不同的译者对同一篇文章、同一本书在同一时期或不同时期的翻译的对比,也可以是同一个译者对同一篇文章或书籍在不同时期的翻译的对比;可以是翻译技巧等微观层面的对比,也可以是宏观层面的对比,探索为什么译者在不同时期会采取不同的策略,有哪些社会的、文化的、政治的、意识形态的原因。

(6) 翻译及评论:首先选择一篇长文(一般是文学作品且没有人翻译过)进行翻译,翻译后,从上述五个方面选择一个理论视角对自己的翻译作品进行评论。

(7) 译者风格。

(8) 翻译与美学。

从上述各个方面均可写出几本甚至几十本专著。因此,选择翻译方向论文题目的同学要根据自己的兴趣从中选择一个角度,进而选出一个写作的范围。缩小选题范围,首先是广泛浏览上述各有关方面的翻译研究资料,以确定自己对哪方面感兴趣且有话可说,这是缩小范围的第一步。在自己感兴趣的范围内,浏览资料,做笔记,把有关资料的名称、作者、出版信息及重要观点和内容等资料记录下来,进一步缩小范围,形成初步的论文研究方向,然后再仔细浏览阅读这个研究方向的资料,并做好相关笔记,为形成自己论文的观点打下基础,最终确定自己的论文题目。

学生一旦确定毕业论文的选题,没有特殊理由,原则上不得更改,因为随意变动选题,教师难以指导,学校难以管理,而受影响最大的还是学生本人,既浪费了时间和精力,且最终写出的论文往往不甚理想。更改论文选题是比较烦琐的过程,不但之前所做的工作、查找的资料都要作废,导致前功尽弃,而且学生会失去很多宝贵的论文写作时间,到最后只能匆匆完成论文,成绩也不会理想。如果选题确因特殊原因需要改动,则必须在指导教师和学生充分沟通后,由学生提出申请并填写申请表,指导教师签署意见,并经系部批准后,上报教务处,教务科收到材料后将统一在毕业论文管理系统里修改论文题目。因此,同学们在选题时务必进行慎重、全面的考虑,建议在大选题上再选小选题,首先选择范围大一点的选题,待某一方面收集好资料后,再修改成为小选题,这样不容易把自己限制得太死。

## 2.4.2 自选

部分高校的英语专业会安排指导教师先为学生拟好一定数量的毕业论文选题,再由学



生根据自己的兴趣来选择题目。这种做法会让很多同学省去选题的烦琐，似乎这样的论文拿来就可以写，其实不然。很多教师会根据自己的兴趣或研究领域为学生拟定论题，但在很多情况下，学生并不清楚论题所研究的方向与内容，导致盲目选题，盲目开始写作，最终无法顺利完成论文写作的任务。例如，笔者曾经为学生拟定的一个论文题目为“从《老人与海》看海明威的生存哲学”，在写作过程中发现学生把题目理解成了“论《老人与海》的生存哲学”，出现了严重的理解上的偏差，经过与学生的及时、反复沟通，终于使学生理解到问题所在并及时纠正，从而避免了出现更大的问题。

总之，学生在撰写毕业论文前应当重视选题，深思论文的选题是否有研究价值、是否有新意、是否具有可操作性、是否与本专业有关系、选题范围是否过大。因此，指导教师不仅要在文章结构、语法正确性、语言运用等方面加以指导，而且要启发学生的研究思路，更重要的是要培养学生的科研兴趣，在广泛的阅读中筛选有价值的素材，从多个渠道获取研究题目，并且对学生的选题加以修正，才能把好英语毕业论文的选题关。

## 2.5 资料收集 ◀◀

学生在确定了自己的毕业论文题目之后，接下来要进行的工作就是资料的收集和准备，即围绕论题收集、整理相关资料，经过粗读和细读之后，分析、总结与毕业论文论题相关的理论、经验及前人的研究成果，并在此基础上提炼出新的观点，从而完成论文。

收集和准备毕业论文资料的工作实际上从毕业论文写作一开始就在进行了，并贯穿毕业论文写作的整个过程。因此，资料的收集和准备对于毕业论文写作能否顺利进行也起着不可缺少的基石作用。

### 2.5.1 资料来源和途径

英语专业本科生常用的参考资料主要包括以下几种。

(1) 百科全书：包括普通类和专门类百科全书，主要帮助学生基本了解所选论题的相关知识。

(2) 专著：包括和论题相关的普通图书，可以使学生加深对论文题目的认识。关于某个研究领域的书目，可以使学生从中获得专业书籍和相关图书的信息，以便选出最关键、最有参考价值的图书。

(3) 传记：主要介绍人物生平、思想和作品等，对文学类写作有很大帮助。

(4) 词典：包括普通类和专业类词典，主要提供术语的解释。

(5) 期刊：包括电子期刊，主要提供本领域内的研究状况和研究论文。

(6) 网络资源：指利用搜索引擎，对研究进行必要的补充。如果搜索英文资源，建议使用 Google 英文版搜索工具、Yahoo 英文版搜索工具、Alta Vista 搜索工具；如果是中文资源，建议使用新浪或者百度搜索引擎。

资料收集的途径主要有图书馆资源和互联网资源两种。

(1) 图书馆资源：可以为学生提供丰富的资料，从专著、百科全书、专业学术期刊、报纸杂志到各类工具书，都可以在图书馆查找到。馆藏书籍的权威性高，但相对有时间滞后的局限。

(2) 互联网资源：充分利用网络资源收集和了解一般的背景信息。网络资源具有快捷、

简便、更新快、信息量大的特点,能够帮助学生在极短的时间内毫不费力地搜索出与关键字相关的所有信息条,每条搜索信息都附有几行上下文,有助于读者判断其价值。如果善于充分利用网络,将有机会接触最新的前沿成果,对论文写作是有很大帮助的。下面列举一些常用的英文搜索引擎。

- ① <http://www.britannica.com>。
- ② <http://www.baitleby.com/reference>。
- ③ <http://encarta.msn.com>。
- ④ <http://www.infoplease.com>。
- ⑤ <http://www.google.com>。
- ⑥ <http://www.ask.com>。

其中,①为大英百科电子版;②集合了哥伦比亚、世界历史等百科以及文化辞典等相对综合的参考内容;③同样可以搜寻到百科和词典所收录的内容;④网站中综合了年鉴、词典以及百科等多方面内容;⑤全球性的搜索引擎,搜索到的内容比较繁杂,所有与关键词有关的链接网站都会被罗列出来,其中包括一些个人观点和商业广告等,所以过滤工作相对复杂;⑥则是一个很好的搜索启蒙网站。

### 2.5.2 资料的筛选

在资料收集的过程中,常常会面临浩如烟海的图书期刊和网络资源,这时需要根据以下几个标准来筛选所收集的资料。

(1) 资料是否和论文题目紧密相关。收集的资料一定是论题所涉及的内容,包含在论题的大方向之内。例如,论题是关于英国文学或美国文学的,就要在文学的范围内收集查找资料,这是显而易见的。

(2) 资料是否全面。学生在收集资料时要本着“多多益善”的原则,即在大方向、大范围内尽可能多地收集、查找与论题相关的资料,使之更为全面,为写作打下最为坚实的基础。例如,论文题目是“《西风颂》的汉译版本比较”,首先学生必须找到七种汉译本,并收集有关这首诗及其译本的评论、介绍之类的资料,另外,还必须查找一些英诗汉译以及相关的讨论英诗汉译的方法、理论、技巧;然后,将这些资料连同诗人的原诗和评论介绍,列出一个参考书目。

(3) 资料是否陈旧,观点是否过时。所收集的资料要尽可能地反映出某一研究领域最新的研究成果。在某一论题的研究中,有一些内容、观点是永恒的,不论其产生多久,都具有价值和意义;而有些内容和观点则带有明显的时代特征,反映了当时的时代背景和发展水平,因此带有一定的时代局限性,这类资料很显然是不能利用的。相对而言,专业期刊更新快,因而它所表达的观点与资料往往比图书类更新颖一些。

(4) 出版社是否具有权威性,作者是否为该领域专家。当今社会是知识爆炸、信息爆炸的社会,各种知识、信息大量涌现,其中无疑会掺杂一些质量低劣的文献资料。因此,学生在收集资料时要选择那些质量高的资料,这一点可以根据出版社、作者等方面来判断。一些大的权威性的出版机构往往拥有一批专业水平高的编辑,他们会从质量参差不齐的书稿中选择最为优秀的出版。在某一领域有突出研究贡献的知名学者的专著一般而言是比较可靠的,但也有些青年学者有较高水准的专著问世,学生需要自己去判断、选择,也可以请教相关教师。

### 2.5.3 资料的整理与常见问题

整理资料时,应注意善于使用索引、书目、文摘、提要,以及查阅专业文献的各种工具书。整理时,最好按照一定的流程系统地进行,而不是东抄一段、西抄一段。首先,确定与论题相关的内容,找关键词;然后,根据内容和关键词确定适当的材料,同时剔除无关的材料。整理好材料后,可以把比较重要的材料复印下来以备用。在查找资料时,如果发现与自己论题相关的某种材料反复被很多文献引用,或者反复出现在不同的目录书中,则说明它非常有价值,已经引起不少人的重视,很值得重点查。

英语论文的写作离不开各种参考文献和资料,外文参考文献和资料在论文写作中起着不可或缺的作用。英语专业的毕业论文是用英文写的,它对语言表达的正确性有一定要求。由于外文资料有限,很多学生在选题时都扎堆于外文资料多的题目,如文学、教学法等。对于外文资料少或根本没有的选题,学生在写作时就只好将中文资料翻译成英文,导致语言表达上中国式英语现象严重。外文资料不足,一方面影响了学生的选题,另一方面也极大地影响了学生论文的质量。而且,没有外文资料和参考文献,要想写出高质量的论文有一定的难度。为了解决外文参考文献和资料不足的问题,提高学生英语毕业论文写作的质量,学校应加大对外文图书资料的投入,同时也要采取一些必要措施,如方便学生上校园网查阅资料、购买某些知名网站的使用权等,解决这些外文资料方面的问题对帮助学生完成毕业论文的写作是至关重要的。

## 2.6 结语

毕业论文的写作是一项长期艰苦的工作,需要付出大量的心血,而论文的选题对能否顺利完成毕业论文具有举足轻重的作用,正所谓“千里之行,始于足下”。

我们应当重视选题,在广泛阅读文献材料的基础上,结合自己的专业领域及兴趣,逐渐确立自己论文的题目,并思考论文的选题是否有现实性,是否有研究价值,是否有新意,选题范围是否过大或过小等。同时,指导教师要注重启发学生的研究思路,培养学生的科研能力,帮助学生把好英语毕业论文的选题关。

# 第 3 章



## 开题报告的撰写

### 3.1 引言 ◀◀

毕业论文写作的前期调研和准备工作至关重要，而前期工作的所有成果则集中体现在“开题报告”之中。一份经过充分调研和认真思考而写就的开题报告应包含关于某一课题研究的全部重要信息。与此同时，研究者的前期准备如果不够充分，可以从开题报告的内容上管窥一二。

开题报告是硕士和博士学位论文写作必须经过的重要阶段。对于学士学位论文，各级各类高校的要求不一，但是随着越来越多的专家对于本科毕业论文的质量提出了质疑，各个高校逐步加强了对于本科毕业论文指导过程的管理，越来越多的高校增加了本科毕业论文写作的开题环节，甚至明确要求该部分占一定的分数比例，目的是想通过该举措让学生充分了解学位论文写作的全过程，认识到学位论文写作的重要性和严肃性。

开题报告的写作目的：一是使学生能将所选课题的研究目的与意义、研究现状、研究内容与框架、研究重点、难点以及创新点、研究方法、参考文献等进行整体梳理，阐明选题的前因后果与来龙去脉，为下一步开始撰写毕业论文做好充分准备；二是开题报告答辩或者指导教师审阅开题报告时，往往会提出一些建设性的修改意见。可见，开题报告的撰写有助于进一步完善研究设计与研究思路，增强学生顺利完成毕业论文写作的信心。

本章将详细介绍开题报告的基本内涵及重要意义，并且从本科毕业论文的角度，解读开题报告所应包含的基本内容，提出撰写建议，在章节的末尾还将附上几篇开题报告填写范例，以供广大师生参考与借鉴。

### 3.2 何为开题报告 ◀◀

开题报告在英语中一般被称为“Research Proposal”，“开题报告是毕业论文工作的重要环节，是指为阐述、审核和确定毕业论文题目而做的专题书面报告，它是实施毕业论文写作的前瞻性计划和依据，是监督和保证论文质量的重要措施”（马莉，2011）。开题报告是研究者对科研课题的一种文字说明材料，就文体而言，属于应用写作文体，随现代科学研究活动计划性的增强和科研选题程序化管理的需要应运而生。开题报告是由选题者把自己所选课题的概况（“开题报告内容”）向有关专家、学者、科技人员进行陈述，然后由他们对科研课题进行评议，确定是否批准这一选题。本科毕业论文开题报告是毕业论文

答辩委员会对学生答辩资格审查的依据材料之一。开题报告是提高选题质量和水平的重要环节。

对于本科毕业论文的开题报告, 各级各类高校要求不一。有的学校要求系部召开开题报告答辩会, 学生根据所写开题报告内容进行陈述, 介绍自己的选题、研究计划和前期调研的准备和结果。教师评审组对学生的开题报告内容进行问询和质疑, 同时给出修改建议, 以便学生在写作论文时更加有据可依。有的学校则只要求指导教师对学生的开题报告进行审核, 由指导教师一人提出进一步完善的意见和建议。有专家曾因本科生毕业论文的质量不高而建议取消本科毕业论文写作的要求, 也有专家建议通过召开开题报告评审会的形式以引起学生对于本科毕业论文写作的重视, 更有专家对于毕业论文指导工作过程中表格填写的诸多繁文缛节的意义提出质疑。在本科毕业论文写作要求客观存在的前提下, 我们认为应适度加强对于本科毕业论文指导过程的管理。增加撰写开题报告的环节, 对于本科毕业论文质量的提高具有明显的促进作用。开题报告不仅仅是前期调研和准备工作的成果体现, 在反复修改开题报告的过程中, 学生一步步地梳理论文的研究思路与内容框架, 迫使其思考和想清楚关于毕业论文写作的诸多重要问题。因此, 开题报告写作是学位论文写作不可缺少的环节。开题报告写作中应重内容、轻形式, 可以根据学生的实际完成情况选择答辩评审或书面评审。

### 3.3 开题报告的基本要素

英语专业本科毕业论文一般要求用英文写作, 开题报告作为指导过程中的重要文件, 建议使用中文进行写作。使用中文, 首先, 在语言上, 无表达障碍, 不会使开题报告写作环节成为毕业论文写作过程中的一个负担。其次, 中文简洁明了, 所占篇幅远远少于同样含义的英文内容, 便于师生间的沟通与交流。

开题报告的内容可繁可简, 文科与理科不同, 不同层次学位论文对于开题报告的要求更是存在巨大差异。本科毕业论文的开题报告写作要求去繁就简, 只包含那些最重要、最基本的信息。这些信息一般包括明确的毕业论文题目、研究目的与意义、研究现状(文献综述)、参考文献、主要观点与论文初步提纲、研究方法 with 思路、研究重点与难点等内容。下面将逐项进行简要的说明。

#### 3.3.1 毕业论文题目

题目是毕业论文中心思想的高度概括, 要求准确、规范、简洁。准确与规范是指要将研究的问题准确地概括出来, 反映出研究的深度和广度, 反映出研究的性质。如果是实验研究, 要反映出实验研究的基本要求, 如处理因素、受试对象及实验效应等。如果是理论应用研究, 要在题目中突出理论关键词及其所结合的现实情况。毕业论文题目用词造句要科学、规范。简洁就是要用尽可能少的文字表达, 一般不超过 20 个汉字或 10 个英文实词, 必要时可使用副标题。开题报告虽然使用中文书写, 但是英语专业论文的开题报告必须呈现准确而规范的英文题目。在开题报告中, 英语专业本科毕业论文题目一般中文在前, 英文在后。毕业论文题目可以说是整个论文被读者浏览最多的部分, 体现论文的核心观点或思想亮点, 也是在各搜索工具中收录最多和最重要的部分。好的论文题目不仅便于检索, 更可以吸引大量读者关注和阅读。

### 3.3.2 研究目的与意义

论文研究的目的是指论文将要解决什么样的问题,这些问题解决后带来的成果是什么。论文研究的意义分为理论指导意义和实践指导意义。理论指导意义是对以往研究的拓展和深入,实践指导意义是对当前工作开展的指导作用。论文研究目的与意义本应该是在文献综述中的一部分,这里将其与文献综述拆分开来,要求学生用简明扼要的语言阐述论文研究什么、为什么要研究它、研究它有什么价值,旨在让学生清楚了解论文的研究目的与意义,而不是让其隐含在可能繁杂冗长的文献综述中而被忽略或含混不清。研究目的一般从现实需要出发,指出现实当中存在某种现象、某个问题、某种观点或某一研究热点,需要我们去研究,去解决某个实际问题,赞同或者反对某观点或对某研究热点进行评述,然后再阐述课题研究的理论和学术价值,尤其应该强调课题研究的理论创新或实践指导意义,以突出所选课题的价值。

选题的研究意义可以从其学术意义、理论价值、实践价值、个体目的 and 知识发展这五个方面进行阐述。任何一个选题都可能从以上几个方面来设定其意义,但并不是每一个选题都具有上述所有设定的意义,因为这还要视选题的大小、范围和类型而定。研究的意义一般不应太大或者太宏观,也不能太抽象,应尽量一目了然。研究意义也未必是越多越好,哪怕只有一点,但挖掘得足够深,这种意义的扩散性同样会很大。把国外的理论介绍到论文里,这不是研究价值。研究意义应尽可能地体现本学科的研究特色,而不是其他学科都能实现的意义(孙立会, 2013)。阐述研究目的与意义时,要使用科学规范且直接具体的语言。有些专家可以将课题的提出,即研究的相关背景,写成一个有趣的故事,一般都要叙述一下在何种情况下,受到某某的启发,意外发现了某个有意义的课题。本科毕业论文是因学位而做的课题,一般自拟课题或者选择指导教师所提供的课题,在课题的提出上不需要做过多的铺垫,只需有针对性地将需要表述的内容表述清楚,切忌冗长而内容空洞,内容最好言简意赅,直接切入主题。

### 3.3.3 研究现状(文献综述)

研究现状即文献综述或文献回顾,英文表述为“Literature Review”,是综合介绍国内外关于某课题的研究现状部分,这是在论文写作前期应该做的重要工作,也是论文正文写作第一部分的重要内容。相对而言,在汉语里,研究现状的概念要较文献综述的概念小一些、明确一些。因此,在本科毕业论文的开题报告中,我们采用了“研究现状”的表述,而没有直接使用“文献综述”的表述。这里所说的研究现状,严格地讲,应该是文献综述中的主体部分,即对文献资料的综合评述,是作者在收集大量有关文献的基础上,通过综合分析评价,整理概括而成的专题性汇报,在研究中具有重要意义和作用。为了便于讨论,下文将一律采用文献综述的表述,对文献综述的目的、步骤、写作方式、写作原则进行简要的介绍。

#### 1. 文献综述的目的

文献综述一般分为文摘性综述和分析性综述。文摘性综述只叙述而不评价,分析性综述则既叙述又评价。本科毕业论文中所要求的文献综述是分析性综述,即对文献进行评价,从中找出毕业论文所要研究的问题(陈道兰, 2010)。文献综述要对课题的研究广度、深度、已经取得的结论和研究成果做综合评述,从而发现研究空白或者研究不够充分透彻的

领域,以确定或凸显研究者自己课题研究的起点(研究平台)及创新之处。文献综述应该为研究者的课题选择提供充分的理论依据和实证信息,说明论文选题不是作者凭空杜撰出来的,也不是前人已经做过的重复研究,而是能够填补某个领域的研究空白或不足而开展的研究。

## 2. 文献综述的写作步骤

文献综述的写作可以分为四步,即明确选题、收集文献、分析文献、撰写综述。

(1) 选题必须明确、具体。选题改变,文献检索的范围就会改变,文献综述的思路也要发生变化。

(2) 在写作论文时,确定选题前后都要不时地收集文献,选题前的文献阅读是为了寻找选题和确定选题,选题确定后的文献收集是为了撰写文献综述,为论文正文写作做准备。

(3) 对收集到的文献进行分析。分析前要经过阅读、筛选和分类。阅读文献要讲究方法,尽可能快地掌握文献的主要信息,比如可以首先快速浏览摘要、引言、结论以及论文结构性标题部分。筛选出相关性较强的文献进行细读,筛选过程中要排除一些观点类似或参考价值不大的文献。然后按照一定的逻辑进行分类,可以按照时间先后、研究方法、研究的维度、研究结论等进行分类。

(4) 拟定综述提纲,撰写文献综述。

## 3. 文献综述的写作方式

文献综述的写作方式多样,可按历史的年代顺序综述,也可按一个问题的不同研究角度进行综述,还可按不同的观点和研究方法进行比较综述。基本的要求是,逻辑清晰合理、文献资料翔实可靠、评述客观、表达顺畅。

根据综述的目的和对文献资料的处理情况,文献综述分为简介式、动态性、成就性和争鸣性等模式(周勇,2008)。

(1) “简介式综述”按内容特点分别综合介绍原文献所论述的事实、数据、论点等,一般不加评述。这类综述适用于某些学术、技术问题的概要介绍,尤其是某些问题刚发现而尚无定论时,较宜使用这一形式。

(2) “动态性综述”对某一领域或某一专题的发展动态,按照其自身的发展阶段,由远及近地介绍其主要进展,一直到目前的发展程度。这类综述最适宜介绍学术、技术的进展状况。

(3) “成就性综述”将有关文献汇集分类,把某一方面或某一项目有关的各种内容从原始文献中摘出,分门别类地进行叙述。这类综述适用于介绍新方法、新技术、新论点和新成就。

(4) “争鸣性综述”对某一领域或某一专题学术观点上存在的分歧,进行分类归纳和综合,按不同见解分别叙述,叙述中可表述作者的倾向性意见。

在此需要说明的是,毕业论文写作中的文献综述大体可以按照简介式综述、动态性综述或争鸣性综述进行写作。可以在分别归纳介绍学者们的不同观点的基础上,表明自己的倾向性意见或观点,还可以提出自己的观点与看法。但是,需要注意的是文献综述既不同于科研论文,又不同于简单的文献报道。它要把来自不同作者的研究成果和科学观点熔于一炉,并加以分析评论(周勇,2008)。

关于文献综述的写作方式,姚荣(2011)还提出了纵式写法、横式写法和纵横联写的方式。

(1) “纵式写法”是指围绕某一选题,按时间先后顺序或选题本身发展层次,对其在各个阶段的发展动态做简要描述,如已解决哪些问题、取得哪些成果、还存在哪些问题、今后发展趋向如何等。它适合于“动态性综述”,每个时间段的内容和层次要清楚,避免出现零散或遗漏要点的现象。

(2) “横式写法”是指对某一专题的研究现状、各派观点、各种方法、各自成就等加以描述和比较,进而提出进一步研究的课题。它适合于“成就性综述”。

(3) “纵横联写”适用于时间跨度较大、研究背景资料相对丰富的文献综述。在阐述时,一般是“纵写”历史背景,“横写”目前状况。通过纵横联写,全面系统地认识某一现象或理论及其发展方向,做出较可靠的趋向预测,推导出新发现、新见解和新结论,为新的研究工作选择突破口或提供参考依据。

完美的文献综述应该是“纵横联写”式的,作者不需要说明采用了哪种综述方式,但是内容的呈现方式却能让读者对于综述方式一目了然。

#### 4. 文献综述的写作原则

文献综述的完成质量与论文立论直接相关。文献综述没有做好,正如盖房子没有打好地基一样,如果漏洞过多,地基不牢,那么论文整体立论一推就倒。高质量的文献综述应该遵循以下原则。

(1) 文献的权威性。文献主要来源于核心期刊、硕博文库、有代表性的专著以及可靠的网络文献,涵盖该领域知名学者的理论或观点。

(2) 研究课题的实效性。文献中应包含最近3~5年的研究成果,描述选题的最新研究动态,用翔实的文献凸显选题或研究角度的新。

(3) 观点的全面性。如果对观点进行综述,要尽可能穷尽所有流派的观点,并进行比较和综述,做到无漏点。

(4) 内容的相关性。所综述文献应与选题直接相关,所引文献或能作为新假设提出与研究理念的基础,或能对某现象和行为进行可能的解释,或能作为概念界定与衡量关键概念的理论依据,或能作为新研究方法与途径的生发点(姚荣,2011)。

(5) 行文的逻辑性。文献综述一定要为叙述设定某种逻辑线,逻辑线可以是课题研究维度的历史、课题研究方法的历史和课题研究观点的历史。

(6) 综述的客观性与批判性。综述他人观点时首先要客观,不能擅自改动或者曲解他人的观点而影响叙述的客观性。其次,在综述他人观点的时候,要进行客观且具有思辨性的评述,应指出所引文献对该课题研究做出了哪些贡献,还存在哪些不足。评述要客观、委婉,不要贬低别人的观点。

#### 5. 文献综述的写作建议

文献综述不仅是开题报告中的重要组成部分,更是论文第一部分的重要内容,所以学生应该给予足够的重视。建议按照以上写作步骤撰写文献综述,定位选题方向,收集权威文献,明确叙述逻辑,采用适当的写作方式,客观而思辨地评述前人的研究成果。开题报告中的文献综述字数应该在1000汉字左右,学生可以根据研究需要适度拓展。在进行文献综述时,如果想突出方法上的创新,就侧重对于研究方法的历史叙述;如果想突出观点上的创新,就侧重叙述观点演变的历史;如果想突出研究角度的创新,就重点对选题研究多种角度进行对比。总之,文献综述写作是为问题的提出进行铺垫,目的是突出所选课题的



研究价值,为论文写作提供必要的研究基础。坦白地讲,本科毕业论文中的文献综述仅仅是对前人研究比较简单的概述,有指导教师将之戏称为“摆设”,也就是做做样子给别人看的。我们认为,即使是个“摆设”,也要让学生来试着做一做。在做的过程中,学生会了解学术研究的一般过程,熟悉独立开展学术研究的重要环节,这将是学生写作毕业论文的重要收获之一。本科生毕业论文写作很难产生较大的创新和突破,重要的是学生在此过程中获得或提升了其科研能力。

### 3.3.4 参考文献

开题报告中的参考文献应该是前面的文献综述中所引用或提及的所有文献。在撰写开题报告之前,学生会收集大量相关文献,有学生将所收集到的所有资料都列在开题报告的参考文献中,试图以多取胜,貌似相关,实则无用,这种做法是不可取的。根据笔者的论文指导经验,个别学生觉得在论文中引注10处,列出10条有效的参考文献是件困难的事情。原因何在?这主要是因为,在论文写作前期没有做好资料收集和文献综述所造成的。

开题报告中,参考文献的呈现方式与论文正文后的参考文献格式一般要求一致,各个院校的英语专业都有自己统一的规范可循。本书的第7章将对此做详细介绍,这里暂不详述。参考文献讲究使用第一手资料。如果在其他论文中看到对自己论文有用的引文,应根据文后的参考文献找到原文件进行引用。参考文献应具有权威性和高度相关性。权威性是指来源于核心期刊、硕博文库或者代表性专著以及可靠的网络资源。必须指出的是,开放式的百科全书网站,如维基百科和百度百科,因其可靠性不足,不建议引用。建议引用本书附录C中所提供的电子资源。高度相关性是指与选题直接相关,以质取胜。既要引用经典文献,又要引用最新文献。一般要求有近5年的研究成果,反映选题的最新研究动态和争论焦点。在引用参考文献时,要选用具有代表性的、可靠的、观点正确的文献。在引用文献时,建议遵循“三不”原则:第一,没有认真阅读过的文献不要引用;第二,非一流期刊上的论文不要引用或慎重引用;第三,虽然读过,但对论文研究工作没有借鉴意义的名人之作不要勉强引用(刘凤朝,2005)。目前,网络检索高度发达,如果认真去做,是完全可能穷尽关于某一选题的所有重要文献的,本书的附录B提供了部分核心期刊信息,附录C提供了相关网络资源检索途径,希望读者能够很好地利用。

### 3.3.5 主要观点与论文初步提纲

主要观点与论文初步提纲是开题报告的核心内容。顾名思义,主要观点是指要提出自己的研究角度和核心观点或者要得出的结论,或者阐明在研究中要突出的具有创新价值的观点。论文提纲是研究内容最具体的表现,但它也是问题是否明确的重要标志。论文提纲一般以层级性标题来显示,但是其内在的逻辑乃是问题的层级结构,只有明确了问题的层级结构,才能确定论文的纲目(曹正善,2008)。开题报告中的论文提纲可以是粗线条的,可以是研究设计的基本框架,目的是让学生清楚论文的基本框架。该提纲没有必要像论文目录那样详细,但也不能过于简单,必须简单明了地体现论文各部分将要写的内容和主要观点。虽然这只是一个简单的提纲,但指导教师在审阅开题报告时,往往与学生反复磋商的就是这个部分。

### 3.3.6 研究方法思路

研究方法是指在研究中发现新现象、新事物,或提出新理论、新观点,揭示事物内在

规律的工具和手段,是运用智慧进行科学思维的技巧。如果我们将论文写作视为提出问题和解决问题的过程,那么采用什么方法解决问题就是我们这里要谈的“研究方法”。研究方法种类繁多,分类方式尚无定论。古人云:“工欲善其事,必先利其器。”要想得到正确的结论,选择恰当的研究方法和正确使用研究方法非常重要。研究不同的问题可以使用相同的研究方法,研究同一问题可以使用不同的研究方法。方法的选择除了与选题类型有关外,还与研究者所要达到的目的息息相关。本科生也许没有经过研究方法方面的训练,在这里我们将研究方法提出来,就是要提醒学生,毕业论文写作应有方法意识。

英语专业本科毕业论文写作经常采用文献研究法、历史研究法、比较研究法、案例研究法、个案分析法、问卷调查法,以及定性与定量相结合的研究方法。在研究方法的选择和运用上,学生应该注意什么呢?第一,应该根据选题内容和性质选用适当的研究方法。本书第6章“英语专业各类论文写作指导”中,对于各研究方向经常采用的研究方法有所涉及,这里暂不详述。第二,注意根据研究方法的特点和功能,采用正确的操作流程,这需要对所选用的研究方法进行深入的学习。第三,注意使用多种研究方法,各种研究方法可相互补充,便于产生新的研究成果。第四,注意在研究的不同阶段,使用不同的研究方法。

在文献综述的基础之上,针对选题,选用适当的研究方法,然后尽可能提出新的研究思路。研究思路涵盖研究方法的运用和主要观点的逻辑衔接。事实上,任何理论的创新归根到底都是方法的创新。在确定选题后,就要努力去构建一个创新的研究思路,设计一个创新的研究路线,在研究方法上进行一些改进或借用,就有可能有新的发现,从而找到课题的创新点(谭世明,2011)。在开题报告中,对于研究方法 with 思路可以采用简单明了的一段式综述。

### 3.3.7 研究重点与难点

对于论文选题而言,肯定存在研究重点;而对于研究者而言,必然存在研究难点。学生应清楚了解自己论文选题的研究重点与难点。研究重点在心,写作时就不会偏离核心;研究难点在腹,就会有意识地加大这部分的精力投入。在开题报告中,研究重点与难点只需用一两句话简单概括。同一选题,对于不同的学生而言,研究难点可能各不相同。有人觉得文献综述部分最难,有人觉得理论结合实际部分最难,有人觉得寻找合适的案例进行分析最难,有人觉得数据的统计与分析最难。要求学生在开题报告中阐述其研究重点与难点,主要是引导学生清楚了解各自毕业论文的研究重点与难点,以便在后续写作过程中加大精力投入。

### 3.3.8 撰写步骤及阶段任务

撰写步骤及阶段任务包括选题及开题报告初稿、开题报告定稿及提纲、完成初稿、二稿、三稿、定稿、论文答辩等的时间安排。对于毕业论文各阶段写作任务的完成时间,各校都有各自的安排。一般而言,毕业论文工作于学生升入大四的9月份启动,经过教师上报选题、学生选择选题或自主拟定课题、确定指导教师、教师下达毕业论文写作任务书、学生开始资料收集和开题报告的撰写、论文详细提纲写作、论文正文数稿的写作和修改,以及毕业论文答辩等环节。学生应在指导教师的指导下,按照以上步骤,逐一完成各环节的写作任务。开题报告中要求列出毕业论文写作的步骤和完成的具体时间,目的是引导学生按照毕业论文写作的时间安排,分步骤、有计划地完成毕业论文的写作。

### 3.3.9 指导教师评语

开题报告需要经过师生间的反复沟通和磋商方能定稿。要使开题报告各部分内容达到合格标准,前后至少需要三稿的修改。开题报告定稿后,指导教师根据学生开题报告的完成质量,做出明确表态,在“是否同意”一栏中填写“同意”或“不同意”,同时给出建设性意见及注意事项等。指导教师同意开题后,还要根据学生的开题报告的写作过程和完成质量给出开题报告成绩。目前,大多数高校都加强了对于本科毕业论文写作的过程管理,开题报告部分的成绩是学生毕业论文总评成绩的一部分,一般占总成绩的20%左右。

## 3.4 开题报告填写范例

为了使对于开题报告的内容有更加直观的认识和了解,下面提供5个开题报告范例,供读者学习和参考。开题报告内容项目较多,为了便于呈现内容,一般将其做成表格样式。在所给出的5个范例当中,为了节省篇幅,仅范例1为完整表格,其他4个范例仅提供了表格的前半部分。希望读者能够从中获得一定启发。需要指出的是,以下开题报告范例仅是学生中的中上之作,绝不是完美无瑕的样本,它们都存在某一方面的不足。本科毕业论文的开题报告容易出现以下问题:

- (1) 文献资料收集不够全面,研究基础不够坚实。
- (2) 创新意识较弱,选题多为前人的重复性研究。
- (3) 研究目的与意义阐述不够明确,尤其是研究意义部分。
- (4) 文献综述文献不足或单纯罗列文献观点,综述过程中缺乏批判性。
- (5) 引用文献呈现方式不够规范。
- (6) 参考文献不够权威和全面。
- (7) 主要观点阐述不清,论文提纲逻辑不够合理。
- (8) 研究方法 with 思路方面阐述不够清楚准确,欠缺方法意识。
- (9) 对于研究重点定位不准确,对于研究难点无意识。

因此,在参考以下开题报告范例时,应辩证地看待其优缺点。

范例1: ××××××××学院学生开题报告表

课题名称	《镜花缘》与《格列佛游记》的乌托邦文学视角比较研究 A Comparative Study of <i>Jing Hua Yuan</i> and <i>Gulliver's Travels</i> from the Perspective of Utopian Literature						
课题来源	F		课题类型	EX		指导教师	×××
学生姓名	×××	学号	×××××××××	班级	×××	专业	英语
<p>一、开题报告内容 (1. 研究目的与意义; 2. 研究现状 (文献综述); 3. 参考文献; 4. 主要观点与论文初步提纲; 5. 研究方法 with 思路; 6. 研究重点与难点)</p> <p>1. 研究目的与意义</p> <p>本论文旨在从乌托邦文学的角度深入比较分析《镜花缘》与《格列佛游记》创作的相同点,进一步总结出乌托邦文学在中英两国文学史上的地位及影响。通过本文的研究,希望帮助读者进一步了解乌托邦文学这一文学现象,以及进一步剖析《镜花缘》与《格列佛游记》这两部小说所体现出的乌托邦文学特点 (以相同点为主,对不同点仅做简要阐释)。</p>							

## 2. 研究现状（文献综述）

对于本选题中的“乌托邦文学”、“《镜花缘》中的乌托邦文学现象”、“《格列佛游记》中的乌托邦文学现象”，前人均有研究涉及。前人的研究内容主要集中在乌托邦文学在世界各国的发展流变、中英两国乌托邦文学对比或者《镜花缘》和《格列佛游记》两部作品在其他角度的对比（如儿童文学角度）上。这些研究旨在从宏观上把握乌托邦文学的发展脉络，以及向读者展现《镜花缘》与《格列佛游记》的某些异同之处。然而，直接涉及从乌托邦文学视角比较两部作品的仅发现一篇，即《〈格列佛游记〉与〈镜花缘〉中的乌托邦文学现象解读》（刘骥等，2009），这篇论文只是很笼统地从乌托邦视角对两部作品进行了比较和解读。

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## 4. 主要观点与论文初步提纲

### 1) 主要观点

乌托邦文学不仅仅是西方文学中的现象，在中国古代文学作品中也有体现。但是，乌托邦文学在中西方文学中的表现有同也有异。《镜花缘》与《格列佛游记》这两部作品对于研究中西方乌托邦文学的特征非常具有代表性。

### 2) 论文初步提纲

1 文献综述: 简述前人关于《镜花缘》和《格列佛游记》的比较研究及乌托邦文学视角研究，同时陈述该研究的乌托邦文学研究视角及研究目的与意义。

2 《镜花缘》与《格列佛游记》乌托邦文学的相似特点分析。

2.1 虚构理想国的描绘。

2.2 社会批判: 反乌托邦描述中的社会反讽。

2.3 主人公的厌世思想。

3 《镜花缘》与《格列佛游记》乌托邦文学不同特点分析。

4 结论: 乌托邦文学作为独立的文学类别在中西方文学史上各有体现，作品也各具特色，都深受当时社会政治大背景的影响，表现了两国作家的不同诉求。

## 5. 研究方法与思路

本文采用平行比较的研究方法。论文将分别对两部作品的乌托邦文学现象进行归纳，通过比较得出异同之处。两部作品的差异既来源于英国启蒙时代与中国清末两种不同的社会背景，也与两位作者不同的人生经历有关。两部作品都体现出了作者对于美好社会的构想和社会现存不合理现象的批判。不同点则体现出两位作者不同的创作目的（斯威夫特以政治讽刺性为主，李汝珍以文学欣赏性为主）。

## 6. 研究重点与难点

(1) 重点: 《格列佛游记》与《镜花缘》的乌托邦文学特点的相同之处。

(2) 难点: 如何在两部作品中找出足够的例子说明这些特点。

续表

二、任务完成的阶段及预期结果				
起止日期	主要内容			预期结果
第七学期第 5~7 周	学生自主选题,在指导教师的指导下确定论文题目。 依据指导教师的任务书,收集、分析相关文献,填写开题报告,并交指导教师审阅,最终完成开题报告。 完成开题报告后,继续阅读、分析、整理材料,写出论文提纲并交指导教师审阅,最终确定论文提纲。 依据论文提纲,完成论文初稿的写作。 指导教师评阅并提出修改意见和方案,学生根据指导教师意见进行修改。 完成论文二稿,交指导教师评阅并根据指导教师意见进行修改。 上交论文三稿,指导教师审阅、定稿。学生提出答辩申请。 上交答辩申请表。指导教师给予相应的答辩指导。			确定论文题目,明确论文方向 收集相关资料,完成开题报告
第七学期第 8~11 周				
第七学期第 12~16 周				完成写作提纲
第七学期第 16~18 周及寒假				完成初稿
第八学期第 1~5 周				通过初步审阅完成初稿修改, 形成论文二稿
第八学期第 6~10 周				通过二审
第八学期第 11 周				完成毕业论文的定稿
第八学期第 12~14 周				参加毕业论文的评阅,完成论文答辩
审查意见	是否同意开题		开题阶段成绩	
	指导教师签字: _____			日期: _____

课题来源: A—校内教研基金; B—校内科研基金; C—企事业单位合作课题; D—政府部门支持课题; E—教师自拟课题; F—学生自拟课题; G—其他。

课题类型: (1) A—工程设计; B—技术开发; C—软件工程; D—理论研究; E—应用研究。(2) X—真实课题; Y—模拟课题; Z—虚拟课题。(1)、(2)均要填,如 AY、BX 等。

范例 2: ××××××××学院学生开题报告表

课题名称	浅析柯南道尔侦探小说的悬疑设置 A Brief Analysis of the Suspense Setting of Conan Doyle's Detective Fiction						
课题来源	F		课题类型	EX		指导教师	×××
学生姓名	×××	学号	××××××××××	班级	×××	专业	英语
<p>一、开题报告内容 (1. 研究目的与意义; 2. 研究现状 (文献综述); 3. 参考文献; 4. 主要观点与论文初步提纲; 5. 研究方法思路; 6. 研究重点与难点)</p> <p>1. 研究目的与意义</p> <p>本论文旨在通过深入分析福尔摩斯系列侦探小说的悬疑设置,找寻并赏析侦探小说之父——柯南道尔悬疑设置的意义、目的及其独到之处,同时提出自己的看法。柯南道尔的悬疑设置不仅仅是满足读者对于小说的喜爱,也不仅仅是为了训练和提升读者对案件独立探索与分析的能力,而是通过对案件的分析和对谜团的破解发掘其作品背后暗含的社会问题、人性问题。这才是福尔摩斯系列小说真正有别于其他侦探小说的地方,更是其悬疑设置目的和精髓所在。留有空间让读者细细思考,每每读完静心回味都会对社会、对人性有更深刻的认识。柯南道尔在其小说中的悬疑设置独具匠心,从多角度进行设置,例如语言、文字、环境中的景物布局,周围充斥的声音和气味、人物外貌特征以及动作的描写等,给读者以视觉、听觉甚至是嗅觉上的多重感官体验,带领读者细致深入地分析案件,通过福尔摩斯的提示和自己的分析推理破解谜团,找出罪犯。研究其作品悬疑设置上的特点,有助于读者进一步研究柯南道尔对后世侦探小说家及其作品的影响,以及进一步剖析夏洛克·福尔摩斯,这位神探吸引着一代又一代读者、千百年来声望有增无减,有着跨越时代魅力。</p>							

续表

## 2. 研究现状（文献综述）

在前人著作中,论及侦探小说中悬疑设置一般特点的论文如《英美通俗小说概述》(黄禄善,刘培骥,1997);从论述其他侦探小说与福尔摩斯系列小说中悬疑设置的区别入手,指出福尔摩斯系列小说相较其他小说而言更能体现出现场感和存在感的论文如《论阿加莎·克里斯蒂侦探小说的叙事悬念与写作技巧》(池海萍,2009),《著名侦探福尔摩斯和波罗的研究与比较》(张维婷,2009);从作者对剥夺人身自由、信仰自由和婚姻自由的控诉,宣扬其崇尚自由的观念角度的论文如《人道主义和侦探小说——福尔摩斯系列小说的道德主题分析》(余芳);论述悬念的分析与破解是为了塑造人物的一种艺术手段,读者在叙事悬念破解过程中得到审美愉悦和认知满足的论文如《柯南·道尔“血字的研究”中的叙事悬念》(熊杰,2008)和《艺术性与理性的完美结合——从人物刻画与悬念设计看柯南·道尔的侦探小说艺术》(李剑,2006)。

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## 4. 主要观点与论文初步提纲

### 1) 主要观点

对于本课题,国内外学者的论文都有所涉及,但是并未从作者所著不同时期、不同作品集中的多部作品、多个角度(语言、表情和神态、环境中的景物布局、周围充斥的声音和气味、人物外貌特征以及动作的描写等)出发,分析小说中悬疑设置的作用和效果,并对作者意图、读者反应以及后世侦探小说家的影响进行深入的分析。本论文主要目的在于说明柯南·道尔的悬疑设置在多重感官上的体现,如何一步步引导读者细致深入地分析案件,读者又是如何通过福尔摩斯的引导和提示,推理出最终结果。此外,“柯南·道尔”式的悬疑设置指引着后世侦探小说家更加理性客观、逻辑缜密地设计小说。

续表

## 2) 论文初步提纲

## 1 引言

## 1.1 柯南·道尔与福尔摩斯探案集

## 1.2 文献综述

## 2 福尔摩斯系列小说中的悬疑设置特点（举例并说明其效果）

## 2.1 悬疑设置的五个基本特点

## 2.1.1 倒叙

## 2.1.2 设置问题

## 2.1.3 制造误会

## 2.1.4 创造巧合

## 2.1.5 模糊法

## 2.2 多角度的悬疑设置法

## 2.2.1 从语言方面设置悬疑

## 2.2.2 从着装和外貌设置悬疑

## 2.2.3 从动作和反应设置悬疑

## 2.2.4 从外界声音和气味设置悬疑

## 2.3 借助旁观者视角引出悬念

## 2.3.1 最佳的悬念引领者——华生

## 2.3.2 悬疑气氛制造者——群众、警探、政府高官

## 2.4 反派的力量升华悬疑设置——莫里亚提教授

## 2.4.1 莫里亚提的首次亮相

## 2.4.2 两人间的智慧较量

## 2.4.3 意料之外的结局（《最后一案》的巧妙设疑——两人双双坠崖，福尔摩斯生死不明。）

## 2.5 悬疑设置的目的

## 2.5.1 塑造人物形象

（柯南·道尔惯用细致的人物描写，精细到脸部的皱纹和鞋子边上的泥渍，给读者以视觉上的存在感，同时对于小说中刻画的人物记忆犹新。这样精巧的悬疑布局，往往令读者欲罢不能。）

## 2.5.2 训练和吸引读者

（柯南·道尔的悬念设置包括一个有效互动的读者和作者。它是吸引读者参与调查过程，同时它也是一种训练，可以提高能力的探索和分析的读者。）

## 2.5.3 满足读者的审美和认知

（柯南·道尔真实的生活经历帮助他塑造出一个鲜明的、深入人心的传奇式侦探形象，同时这位传奇人物又有着与常人一样的人性上的弱点，从而使这一人物形象更为丰满，更加吸引读者。）

## 3 柯南·道尔悬疑设置的影响

## 3.1 侦探小说的发展和繁荣

## 3.2 柯南·道尔悬疑设置的特点

## 3.3 对后世侦探小说家的影响

## 3.3.1 美国“柯南·道尔”——约翰·狄克森·卡尔

卡尔笔下的大侦探——基甸·菲尔博士人物本身和他推理侦查的形式作风很明显是福尔摩斯式的。他借助于古老的传说、哥特化的场景，自然地烘托出超自然的恐怖感觉。在《女巫角》中，传说身为女巫绞刑场查特罕监狱典狱长并拥有此处大批地产的石塔波斯家族继承人注定要断颈而亡，果然在众人的监视之下，石塔波斯家长子坠楼身亡。详见《女巫角》（Hag's Nook）等作品。

续表

3.3.2 东方“柯南·道尔”——程小青

（程小青的创作模仿了柯南·道尔的写作手法，但他又成功地塑造了“中国的福尔摩斯”。他着重描写由旧中国社会弊病引发的凶杀案，注重人物的心理分析，把凶杀与现实生活的投影结合起来，因此形成了自己的特点与风格。详见《霍桑探案》等作品。）

4 结论

5. 研究方法思路

定性研究中的文献研究。通过对侦探小说、侦探小说中的悬疑设置、柯南道尔侦探小说中的悬疑设置的特点以及《福尔摩斯全集》英文原著及汉译本等相关文献的归纳和分析，通过对比和比较等方法论述柯南·道尔的侦探小说中悬疑设置的精巧别致之处，并分析该特点的意义和作用。同时，探索其对后世侦探小说家及其作品的影响。

6. 研究重点与难点

（1）重点：本课题重在研究侦探小说《福尔摩斯全集》中悬疑设置的特点及该特点的作用和达到的效果。

（2）难点：怎样全面、细致、有层次地分析柯南·道尔侦探小说中悬疑设置的特点，并能结合大量实例给出自己的独到见解。

范例 3：××××××××学院学生开题报告表

课题名称	英译汉中词类的转换 Conversion of Part of Speech in English-Chinese Translation						
课题来源	E		课题类型	EX		指导教师	××
学生姓名	×××	学号	×××××××××	班级	×××	专业	英语
<p>一、开题报告内容（1. 研究目的与意义；2. 研究现状（文献综述）；3. 参考文献；4. 主要观点与论文初步提纲；5. 研究方法思路；6. 研究重点与难点）</p> <p>1. 研究目的与意义</p> <p>研究目的：英汉两种语言在词汇、表达习惯、语法等诸多方面存在着差异，这使得英汉翻译工作艰难而又复杂。因此，要使英汉翻译工作顺利进行，就必须了解这两种语言本身的特点以及各自所属的文化。此外，有必要学习一些具体的翻译技巧与策略。实际上，翻译的技巧就是变通的技巧。</p> <p>研究意义：研究英译汉中最常见的翻译策略——词类的转换，使我们能有效地进行翻译，使译文自然、通顺、准确地传达原文的信息，进而促进东西文化的交流与传播。</p> <p>2. 研究现状</p> <p>词类转换法是最常用的翻译手段之一。所谓词类转换法就是译者在翻译过程中，根据译文语言的习惯灵活地进行词性转换。关于词类转换法，国内外许多学者都进行过研究。</p> <p>英国著名语言学家及翻译理论家 J.C.卡特福德（Catford）在《语言学翻译理论》（<i>A Linguistic Theory of Translation</i>）一书中提到：“那么，当译语单位的翻译等值成分是一个与原语单位处于不同类别的成分时，就产生了类别转换（卡特福德 1965，p.788；穆雷，1991，p.91）。”在此书中，他还认为结构的转移（structural-shifts）会经常伴随着词性转换。美国当代翻译理论研究家尤金·奈达（Nida）曾在《翻译理论与实践》一书中语义深层层面上，抛弃已确定多年的术语，改用实体（object）、事件（event）、抽象概念（abstract）、关系（relation），指出不变通则无法进行翻译。</p> <p>翻译中常用的技巧有许多种，主要包括词类转换法、加减重复法、反面着笔法和分合移位法。其中，词类转换是最常用的手段，词性转换几乎可以在所有词性间进行，如名词转换成动词，动词转换成名词，介词转换成动词，副词转换成动词，名词转换成形容词等。</p>							



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### 4. 主要观点与论文初步提纲

#### 1) 主要观点

英汉两种语言在词汇、句法结构等方面都存在很多差异, 且需要遵循一定翻译原则。由此可见, 在大多数情况下, 不进行词类转换而将英语句子逐词对译成汉语, 是行不通的。知名学者刘宓庆教授针对词类转换法翻译原则提出: “词类间可以灵活转换在翻译中可以说是没有任何限制的, 原则是: (1) 不能违背原文的深层概念, 必须忠于原意; (2) 有助于译文的可读性, 更符合汉语达意传神的习惯表达法” (2006, p.322)。

#### 2) 论文初步结构大纲

##### 1 引言

##### 2 词类转换的必要性

##### 2.1 英语和汉语的词类划分

##### 2.1.1 英语词类划分依据及其句法功能

##### 2.1.2 汉语词类划分依据及其句法功能

##### 2.2 英译汉中词类转换的主要原因

##### 3 词类转换在英译汉中的应用

##### 3.1 英语名词的转换

##### 3.2 英语形容词的转换

##### 3.3 英语介词的转换

##### 3.4 其他词类的转换

##### 4 结语

### 5. 研究方法思路

通过论述其他学者已做出的研究, 再通过自己深入分析, 用背景及案例补充说明。

### 6. 研究重点与难点

很多英语词汇可通过添加前后词缀来引起词性及词义的变化, 如名词、动词、形容词、副词根据后缀的形式, 就能显示出它们的词类。常见的词类标示有: -er、-or、-ful、-ify、-ly 等。而在汉语中, 除了少数后缀外, 如除了“子”、“头”、“儿”、“地”以及“的”之外, 许多词汇基本上不能通过添加词缀来改变词性。然而, 英汉两种语言虽在词汇层面诸多不同, 却具有一个相同的特征, 即两种语言都有一词多类、一词多义的现象, 以及其独特的表达方式。这又为英汉互译过程增添了难度。另外, 英语的句法结构逻辑性较强, 外形较完整; 而汉语的句法结构由于没有词形变化, 主要是围绕话题展开。因此, 英译汉中句子结构的改变不可避免, 而句子结构的改变往往伴随着词类间的相互转换。

范例 4: ××××××学院学生开题报告表

课题名称	以学生为主的教学对英语学习的影响 The Impact of Student-centered Learning on English Learning						
课题来源	自选		课题类型	EX		指导教师	××
学生姓名	××	学号	××××××××	班级	×××	专业	英语

一、开题报告内容 (1. 研究目的与意义; 2. 研究现状 (文献综述); 3. 参考文献; 4. 主要观点与论文初步提纲; 5. 研究方法思路; 6. 研究重点与难点)

**1. 研究目的与意义**

学生是学习的主人, 教师的作用在于成为学生学习英语的组织者、引导者和合作者。建立“以学生为主体”的英语教学方式, 使英语学习既有利于学生打好学英语的基础, 又有利于学生形成健全人格, 更有利于学生去探索、创新。通过查阅大量资料, 并结合自己实际教学, 分析学龄前儿童更适应哪种教学方式, 特别是传统教学与现代提倡的以学生为主体教学的区别, 并提出自己的观点和看法。

**2. 研究现状 (文献综述)**

我国的教学方式大致分为两类: 一是传统教学模式, 二是现代教学模式。所谓传统教学模式, 也就是“教师中心论”, 这是我国长期以来学校教学的主流模式。所谓现代教学模式, 也就是“学生中心论”, 这种教学模式主张教学思想、教学设计、教学方法、教学管理等方面均以学生为中心。David M. Brown 认为为了适应教师的压力问题, 我们应该想出一个方法去应对这个问题, 通过许多老师的学习, 他们认为老师应该更直接地创造一个以学生为中心的教学环境。Chung 和 Chow (1999) 曾报道说学生除了通过学习自我评估之外, 他们更发现学习的过程很有趣, 很有挑战性并且十分享受自己探索的过程。与此同时, 也有反面的观点。Zhang (2002) 认为不同国家、地域的不同, 对于学生的教学方法也大有不同, 或因为学生学习能力的高低, 所以很难安排教学环节。

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**4. 主要观点及论文初步提纲**

1) 主要观点

以学生为主体的教学重点在教师, 教师要引导学生独立思考, 激活其创造性思维, 使他们在活动中学会求知、学会探究、学会合作、学会创新。在教师的引领下, 学生主动参与, 以自身兴趣和内在需要为基础, 以主动体验和感受过程、探索 and 解决问题为特征, 以促进主题认知、情感发展、创新意识和能力发展。

2) 论文初步提纲

- 1 引言, 文献综述 (国内外学者至今的研究成果) 及论文概况
- 2 简单介绍国内教学方式, 与国外做对比
- 3 简析传统式以教师为主体教学与现代式以学生为主体教学的利弊
- 4 列举如何做到以学生为主体
  - 4.1 以学生为主体, 创设尽可能真实的模拟情景
  - 4.2 以学生为主体, 激发学生的学习兴趣
- 5 开展以学生为主体的教学案例
  - 5.1 根据典型案例整合教学内容
  - 5.2 多渠道收集典型案例和根据自己的阅历自编案例
  - 5.3 以多媒体方式呈现案例
  - 5.4 以学生为主体进行案例分析

续表

6 分析以学生为主体教学在实际教学中应用成果

7 结论：通过具体数据的分析，结合所参考相关研究的观点或数据，讨论哪种教学方式会更容易被孩子接受，对孩子学习有利。通过比较传统式以教师为主体教学模式和现代式以学生为主体教学模式的区别以及利弊，尽管在国外可能适合现代式以学生为主体教学模式，但是在国内未必适用，对此提出自己的见解。并结合自己实际教学提出问题并想办法解决。

#### 5. 研究方法与思路

对比以学生为主体和以教师为主体的教学方法。总结经典案例，进行比较，并分析各自的优缺点。通过做调查了解学生所喜欢的授课方式与现代教学方法有什么不同。指出当前英语教学中以教师为主体的传统式教学法的弊端，主张采用以学生为主体的教学模式，并提出有效方法。深度解析如何在国内课堂条件允许的情况下实现以学生为主体的教学。

#### 6. 研究重点与难点

(1) 重点：指出当前英语教学中以教师为主体的传统式教学法的弊端。

(2) 难点：提出如何在国内实现以学生为主体的教学的有效方法。

范例 5：××××××××学院学生开题报告表

课题名称	中国梦与美国梦的对比研究——以《中国合伙人》与《伟大的盖茨比》为例 A Contrastive Analysis of China Dream and American Dream—with <i>American Dreams in China</i> and the <i>Great Gatsby</i> as Examples						
课题来源	F		课题类型	EX		指导教师	×××
学生姓名	×××	学号	××××××	班级	×××	专业	英语
<p>一、开题报告内容 (1. 研究目的与意义；2. 研究现状（文献综述）；3. 参考文献；4. 主要观点与论文初步提纲；5. 研究方法思路；6. 研究重点与难点)</p> <p>1. 研究目的与意义</p> <p>本文采用影响研究的方法，通过对比《中国合伙人》与《伟大的盖茨比》两部文学作品，揭示“中国梦”与“美国梦”的差异。通过本文的分析，读者将会更为客观地认识“中国梦”与“美国梦”，以便更好地欣赏两部文学作品。本文同时希望“新东方”的“诚信负责、真情关爱、好学精进、志高行远”的核心价值观能够激励并指引着更多的年轻人向梦想进发，为实现“中华民族伟大复兴的中国梦”贡献自己的力量。</p> <p>2. 研究现状（文献综述）</p> <p>1) 前人对《中国合伙人》所做的研究</p> <p>《中国合伙人》自 2013 年 5 月问世以来，广受读者欢迎。众多学者从不同角度对其进行了解读。研究角度涵盖：身份建构、友谊、英语学习方法、中国梦。</p> <p>《重释中国式的成功故事——论〈中国合伙人〉的身份转型与梦想实现》（沈扬，2014）认为：主人公的成功源于他们不断转换的身份意识，即女性的逆袭促使他们重构身份意识。《〈中国合伙人〉：那是我们渴望的友谊》（帕拉多克斯，2013）以友谊为主线，展现三人从在北大校园不打不相识—建立友谊—创业时情比金坚—事业高峰时割袍断义—兄弟有难时相逢一笑泯恩仇的历程。《中国合伙人》中成冬青独特的单词记忆法以及王阳的电影教学法为英语学习者提供了可借鉴的经验。《〈中国合伙人〉的语言学习视角》（严晓萍，2013）指出：语言学习的动机往往是综合性的，理解一门语言背后的文化，才是外语学习的关键。《电影“中国梦”的励志性书写：以〈中国合伙人〉为例》（张祖群，2013）、《〈中国合伙人〉充满正能量的励志传奇》（温翔，2013）、《追梦在中国—电影〈中国合伙人〉解读》（柳华琴，2013）等论文诠释了：青春是梦想与成就的最好注释与最后归宿，从个人到社会全面展现了“中国梦”的精神主题。</p> <p>2) 前人对《伟大的盖茨比》所做的研究</p> <p>《伟大的盖茨比》作为美国文学的经典之作，在世界文坛留下了浓墨重彩的一笔。前人对其进行的文学研究主要集中在象征主义体现、结构主义解读、美国梦的破灭这三个方面。</p> <p>“Dream &amp; Illusion—Symbolism in <i>The Great Gatsby</i>”（徐大文，2013）中分析了象征主义手法在作品中的应用，并指出大量意象使得美国梦破灭的悲剧性主题得以深化。“An Analysis on the Symbolic Meaning of the Green Light in <i>the Great Gatsby</i>”（牟学麟，2011）以 green light 意象为例，揭示象征主义手法在塑造人物形象、推动情节发展、深化作品主题方面的重要作用。《结构主义视角下的〈伟大的盖茨比〉》（郭海霞，2011）主要从符号矩阵和行动模型的结构主义解读作品，揭示人物关系。《盖茨比与他的美国梦—菲茨杰拉德〈伟大的盖茨比〉解读》（肖明文，2006）的主要观点是：盖茨比实现了他的“黄金梦”，而“爱情梦”最终化为乌有。《再析〈伟大的盖茨比〉中的美国梦》（赵峰，2006）从时代背景、个人经历以及情感纠葛等方面探讨主人公盖茨比的美国梦破灭的原因以及小说中所体现的盖茨比美国梦的升华。</p>							

续表

3) 前人针对《中国合伙人》、《伟大的盖茨比》两部作品所做的对比研究

对两部作品直接对比的论文仅发现一篇,即《在中美文学作品中对比“美国梦”与“中国梦”》(王健,2014),内容主要涉及“梦”的内涵、“美国梦”破灭的原因、“中国梦”的实现途径。

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### 4. 主要观点与论文初步提纲

#### 1) 主要观点

“国家梦”作为一种主流社会意识,集中体现了一国的思维方式与生存方式。《伟大的盖茨比》与《中国合伙人》分别是反映“美国梦”与“中国梦”的代表性文学作品。

#### 2) 论文初步提纲

##### 1 引言

##### 1.1 “美国梦”与“中国梦”的特征

##### 1.1.1 “美国梦”的主要特色

(强调成功的必然性: 人人都能成功的信念; 社会阶级通畅性: 美国被誉为“机遇之国”人人平等, 机会均等; 对“美国梦”进行文化包装: 好莱坞大片、迪士尼卡通形象、上海世博会美国馆。)

##### 1.1.2 中国梦的主要特色

(阶段性: 以在 21 世纪中叶实现中华民族伟大复兴为目标; 开放性: 不是狭隘的民族梦、与世界分享; 人民性: 依靠人民才能实现, 为人民造福。)

##### 1.2 《伟大的盖茨比》与《中国合伙人》

##### 1.2.1 《伟大的盖茨比》

(在“爵士时代”背景下, 盖茨比狂热地追求“财富梦”、执着地追求不切实际的“爱情梦”, 最终梦想破灭的故事。)

##### 1.2.2 《中国合伙人》

(在“改革开放”浪潮冲击下, 新东方“三驾马车”各自的“美国梦”破灭之后, 扎根本土, 三剑合一创办“新梦想”。过程中曾因“上市之争”不欢而散, 遭 ETS 起诉时, 相逢一笑泯恩仇, 共赴美国以渡尽余波的故事。)

##### 1.3 研究现状与本文的研究目的、思路与意义

#### 2 《伟大的盖茨比》中“美国梦”的破灭

##### 2.1 盖茨比“黄金梦”的追求与破灭

(盖茨比渴望通过增加物质财富跻身上流社会, 改变卑微的出身。他靠继承遗产作为资本, 非法贩卖私酒而发迹。富有之后的他却遭到了上层社会的质疑, 他的非法勾当最终被汤姆揭穿。盖茨比葬礼冷清的场面更是与昔日宴会上高朋满座的喧闹场面形成了鲜明的反差。拥有财富, 却未能实现他提升社会地位的梦想。)

续表

## 2.2 盖茨比“爱情梦”的追求与破灭

(盖茨比在军队服役期间,爱上了富家女黛西。黛西无法接受他卑微的社会地位,两人就此分手。之后,黛西嫁给了汤姆,过着浑浑噩噩却安定优雅的生活。盖茨比靠着不择手段的非法经营富甲一方,他经常在豪宅中举办宴会,旨在吸引黛西的注意,从而与他重温旧梦。可现实是,黛西非但未理会,而且在驾车撞死汤姆的情妇后,一走了之。盖茨比却成了“替罪羊”。盖茨比最终被死者丈夫枪杀。)

## 3 《中国合伙人》中“中国梦”的实现历程

### 3.1 “三驾马车”各自“美国梦”的破灭

(成冬青实现了在大学时代许下的读800本书的诺言,纠正了鬼子发音,全力帮助苏梅拿到了美国签证,自己却被拒签,无缘美国。王阳为了Lucy放弃了赴美签证, Lucy回美国时,却只把王阳当成超重的行李,最终与王阳分手。孟晓骏虽获得了签证,却没能在美国实现他改变世界、成为时代周刊封面人物的鸿鹄之志。实验室助教的工作也被人顶替。理想与现实的巨大落差使他感受到“外面的世界很无奈”。遵循留美之后归国这一家族传统,宣告了他的“美国梦”就此破灭。)

### 3.2 “三箭合一”创办“新梦想”

(从废旧的国企工厂起步,凭借三块金字招牌:成冬青申请留美被拒签,却在教别人如何去美国,表面上是个失败者,实为三人中的核心;海归孟晓骏的留学签证咨询与模拟面试;王阳的好莱坞电影教学法,使得办学规模得以不断壮大。)

### 3.3 从情比金坚到割袍断义

(在梦想巅峰之时,孟晓骏提出的让“新梦想”上市的想法遭到成冬青的强烈反对。“上市之争”历经5年没有结果,三兄弟不欢而散。)

### 3.4 相逢一笑泯恩仇

(ETS起诉“新梦想”,指控成冬青是“小偷”。这个劫难却促成了“三驾马车”的再聚首。20年后,三兄弟就这样一起飞往美国,为了使“新梦想”渡过眼前的难关,为了实现心中的“中国梦”。)

## 4 “美国梦”与“中国梦”的差异

### 4.1 提出的历史背景不同

### 4.2 个体主义VS集体主义

### 4.3 自下而上VS自上而下

### 4.4 实现途径不同

## 5 结论

(经过以上对比分析,可以看出:盖茨比“美国梦”的破灭,既源于他个人对财富以及爱情不切实际的、过于执着的追求,“迷惘一代”身处的“爵士时代”的社会背景也可谓首当其冲。相比之下,新东方“三驾马车”则将“美国梦”的破灭视为命运转折点。他们调整了梦想的定位,三兄弟齐心协力,立足中国本土,对梦想的执着坚守使他们最终收获了成功。不可否认,“改革开放”浪潮同样为他们的成功搭建了平台、提供了机遇。可以说,无论是“美国梦”的破灭,还是“中国梦”的实现,都是个人与社会共同作用的结果。“美国梦”与“中国梦”的差异体现在提出的历史背景、价值观、理念源头、实现途径这四个方面。)

## 5. 研究方法思路

本文运用影响研究的方法,分析盖茨比“美国梦”的破灭历程,以及同样经历了“美国梦”破灭打击的新东方“三驾马车”通过实干,借助“改革开放”的机遇成就自己的一番事业,进而扩大中国国际影响力的奋斗历程。最终揭示“美国梦”与“中国梦”之间的差异。

## 6. 研究重点与难点

(1) 重点:《伟大的盖茨比》与《中国合伙人》所体现的“美国梦”的破灭与“中国梦”的实现历程。

(2) 难点:如何客观地揭示“美国梦”与“中国梦”的差异,并就此给出自己的独到见解。



### 3.5 结语 ◀◀

开题报告写作是毕业论文写作的重要环节之一。学生应给予足够的重视，并认真撰写。指导教师应能就学生所写内容，及时指出不足，给出有效的修改建议。就开题报告的各要素而言，研究现状（文献综述）和论文初步提纲是开题报告写作的重点与难点，往往需要反复修改和完善。在写作开题报告的过程中，要注意使用正式、客观、科学而规范的汉语表述，注意行文格式的规范性。开题报告固然重要，但是在撰写过程中，应注意不要让形式大过内容，或者过于纠结于某个部分的写作，比如文献综述部分或者论文初步提纲部分。毕竟开题报告仅是毕业论文正文写作的前奏，文献综述和论文结构在此阶段再怎么纠结，也不会达到论文终稿的思维水平。所以，只要学生能将开题报告的各部分内容基本表述清楚，格式规范，措辞得当，即可定稿，进入下一个写作环节。

# 第4章



## 提纲的撰写

### 4.1 引言 ◀◀

提纲(outline)拟定是尝试性构建论文框架的过程,也是毕业论文顺利完成的基础。与普通作文相比,毕业论文在结构上更为复杂,逻辑上要求更严密。在撰写提纲时需要对前期思考和阅读的文献加以整理,用简洁的语言勾勒出未来论文的框架。一份详细、完整的提纲实际上就是一篇论文的雏形,它可以帮助论文作者在整体上把握文章的结构,明晰论文每一部分的逻辑关系,理清写作重点和思路——在行文时不至于在某一点上花费太多时间和笔墨而忽略了另外的点。总的来说,提纲可以起到以下几个重要作用。

(1) 它帮助作者搭建起论文的框架,避免结构性错误。

提纲是由序号和文字组成的逻辑图表,是作者写作时需要参考的“平面设计图”。它帮助作者掌握文章结构的全局,从整体出发,明晰写作层次。在检验每一部分所占的地位、所起到的作用,相互间是否有逻辑联系,每部分所占的篇幅与其在全局中的地位和作用是否相称,各个部分所占比例是否恰当时,一份完整规范的提纲是不可或缺的。

(2) 它帮助作者明确论文写作中的要点,避免离题。

在毕业论文的研究和写作过程中,作者的思路是非常活跃的。一些看似不起眼甚至不相关的材料或者收集到的数据,作者经过思考和整理,很可能会产生新的联想或观点。若没有一份完整的提纲加以辅助,作者在动笔时很容易受这种现象的干扰,不得不停下来重新思考写作方式和结构,甚至从头来过。这样不仅极大地增加了工作量,而且很容易让论文结构变得混乱和层次不清。一份拟好的提纲可以帮助作者专注于当前的写作目标,做到有问题及时调整,避免大量返工。

(3) 它帮助作者将论文写作的目标具体化,减小写作压力。

一份详细的提纲可以帮助作者科学地安排时间,减轻撰写论文的压力——当坐下来打字的时候,学生们面对不再是“完成××千字的毕业论文”这个让人倍感压力的大目标,而是一个个更为简单轻松的小任务:比如完成“一个自然段”或“一个小标题下面的内容”。

(4) 它便于作者及时修改、讨论。

初写论文的学生如果把自己的思路写成提纲,能让指导老师较易明白其想法,从而便于指导和提出修改意见。

由此可见,一份完整的提纲不仅是作者动笔行文前的必要准备,也是作者构思谋篇的具体体现,它有利于作者在写作时掌握论文结构的全局,明晰重点,是正式动笔前所必需

的“准备工作”，对于每一位学生来讲，完成提纲写作是写好毕业论文的前提。

## 4.2 提纲的三要素 ◀◀◀

一般来说，一份完整的提纲应包括以下三个成分。

(1) 论文题目。

(2) 中心论题。

(3) 论文主体框架。

论文题目的拟定没有太多的规则可循，但总体上应做到意思清楚、言之有物。最好能将论题或中心论点的关键词囊括进去。在确定了研究的范围后，可以尽可能详细一些，为之后的研究和论文的撰写做铺垫。以下是一些具体例子。

Communicative Prefabricated Chunks in Chinese English Majors' English Dialogues (×)  
英语专业学生英语口语对话中的互动型预制语块研究

Communicative Prefabricated Chunks in Chinese English Majors' English Dialogues: Based on the Diagnostic Oral English Test Taken by First-Year English Majors (√)

英语专业学生英语口语对话中的互动型预制语块研究：基于英语专业一年级学生诊断性口语测试的研究

An Analysis of *Winesburg, Ohio* (×)  
解读《小镇畸人》

When Literature and Linguistics Meet: A Stylistic Analysis on Hands in *Winesburg, Ohio* (√)

文学与语言学的交汇：对《小镇畸人》中《手》的文体学研究

An Analysis of Willy Loman in *Death of a Salesman* (×)  
对《销售员之死》中威利·洛曼的角色分析

An Analysis of Willy Loman's Family Dysfunction in *Death of a Salesman* Using the Psychoanalytic Approach (√)

对《销售员之死》中威利·洛曼家庭障碍产生的心理分析

An Analysis of Sue Bridehead in Thomas Hardy's *Jude the Obscure* (×)  
分析托马斯·哈代《无名的裘德》中的淑·布莱德赫

The Missing of Individual: An analysis of the Abortive Pursuit of Self-identification by Sue Bridehead in Thomas Hardy's *Jude the Obscure* (√)

个体的缺失——浅析托马斯·哈代《无名的裘德》中的淑·布莱德赫寻求自我定位遭遇的挫败

Analyzing the Movie *Crash* from the Perspective of Race (×)  
从种族角度分析电影《撞车》

An Analysis of the Cultural Conflict and Hybrid between Different Races in the Movie *Crash* (√)

试析电影《撞车》中种族之间的文化冲突与交融

An Analysis of the Differences between Chinese and Western Press (×)  
中西方媒体报道的差异性探究



Exploring Differences in Coverage on Sudden Disasters between Chinese and Western Press  
-- A Case Study of Reports on the Great East Japan Earthquake by the New York Times and People's Daily Overseas Edition (√)

中西方媒体对突发灾难的报道差异性探究——以《人民日报海外版》和《纽约时报》对东日本大地震报道为例

从以上例子可以看出，论文的题目是对研究方向和内容的概括，但从题目中应可看出较为具体的研究方向，并从研究角度和论文撰写角度来说，可操作性较强，而不是泛泛而谈。

中心论题（thesis statement）是对文章中心思想的概括，换句话说，就是作者希望通过这篇文章希望表达的观点。中心论题必须具体、明确，而且具有“可论性”，请参考下面这个例子。

Shakespeare's *Hamlet* is a play about a young man who seeks revenge.

这句话只是对《哈姆雷特》这一作品内容的概括，不具有任何“可论性（debatable）”，因而也就不算一个合格的中心论题。

Hamlet experiences internal conflict because he is in love with his mother.

这句话明显具有“可论性”，读者看到这句话，自然会期待作者在接下来的文章论述：哈姆雷特如何又为何与他母亲相爱，以及怎样从这个角度解读莎士比亚的这部作品。

论文主体框架是提纲的实质性内容。其核心是“主要论点”（main ideas）和“次要论点”（sub-ideas）。常见的提纲主要有三个层面：第一层面是主要论点，第二层面是次要论点，第三层是事例说明（examples and illustrations）。具体结构可以参照 4.3 “提纲的格式”。

### 4.3 提纲的格式

一般来说，第一层主要论点（或者一级标题）可以用罗马数字 I、II、III、IV 等来表示，第一层主要论点下面更为详细的内容（或者二级标题）用字母 A、B、C、D 等一一标明，再下面的第三层内容（或三级标题）用阿拉伯数字 1、2、3、4 等标示，如果有更详细的论点可用小写字母 a、b、c、d 等分条列出。这样，写出来的提纲不是空洞的总结概述，而是每一个论点都有具体的理论支撑或事例进行说明。其结构如下。

I 第一层主要论点（或标题）

A. 支撑 I 论点的论据 A

1. 论述 A 的具体例子 1

2. 论述 A 的具体例子 2

a. 对例子 2 的分析 a

b. 对例子 2 的分析 b

3. 论述 A 的具体例子 3

B. 支撑 I 论点的论据 B

II 第二层主要论点（或标题）

III 第三层主要论点（或标题）

除此之外，提纲也可以采取阿拉伯数字分级编号的方式，其结构如下。

1 引言（一级标题）

## 2 一级标题

### 2.1 二级标题 II

#### 2.1.1 三级标题 I

#### 2.1.2 三级标题 II

.....

### 2.2 二级标题 II

## 3 一级标题

.....

## 4 结语（一级标题）

采用哪一种分级编号方式取决于个人习惯，就当前而言，提纲中使用阿拉伯数字分级编号更简单，也更为常用。

## 4.4 提纲的语言表述 ◀◀

提纲的撰写在做到言简意赅的同时，还应注意保持每一部分语法的一致性，从而使提纲的结构更清晰，读起来也更容易。一般来说，提纲可以分为标题式提纲（topic outline）、句子式提纲（sentence outline）和段落式提纲（paragraph outline）三种类型。

标题式提纲的每一部分通常以名词短语来概括或列为标题，同一层次要求至少有两个并列项。其特点是简洁明了，一目了然。比如在一篇研究广告赞助对奥运会的影响的学术论文中，标题式提纲可如下所示。

### **Impact of Commercialization on Olympic Games as Seen in Coca-Cola's Sponsorship**

#### **Outline**

Thesis Statement: Commercialization as an indispensable part of the Olympic Games helps to boost the economy of the host country, but over commercialization should be avoided.

#### **I. Introduction**

- A. Commercialization as part of the Olympic Games
- B. Coca-cola as one of the sponsors of Olympic Games

#### **II. Body**

- A. Commercialization's impact on host countries
  - 1. Boosting economy
  - 2. Upgrading other industries
- B. Commercialization's impact on Olympic itself
  - 1. Participation of more countries
  - 2. Better cultural exchange
- C. Commercialization's side-effects

1. Scandals involving some Olympic Committee members
2. Sacrificing the benefits of athletes in order to make money

### III. Conclusion

Commercialization is a trend which is inevitable in Olympic Games. People should avoid over-commercialization and remember the Olympic spirit.

当然，在对文章要写的内容和脉络胸有成竹的时候，也可以写得详尽一些。比如在一篇题目为《飘》中人物 Scarlett 的个人主义的论文中，标题式提纲如下所示。

## The Embodiment of Individualism in Scarlett of *Gone with the Wind*

### I. Introduction

#### A. Margaret Mitchell and *Gone with the Wind*

1. Margaret Mitchell:

A Southerner born in Atlanta, individualism has developed into extreme individualism

2. *Gone with the Wind*:

Arousing a sensation when published, famous for its description of turbulent life in South during civil war and for its depiction of typical characters, especially the protagonist Scarlett

#### B. Literature Review

1. Focus: American Individualism
  - a. "On the Dual Nature of American Individualism"
  - b. "On American Individualism"
2. Focus: Scarlett
  - a. "On the Charm of Scarlett in *Gone with the Wind*"
  - b. "On American Culture Character from the Figure of Scarlett"

#### C. Focus of This Analysis: Individualism

1. Definition of Individualism
  - a. Individualism is the core American ethos
  - b. Definition in Encyclopedia Britannica
2. Individualism in Scarlett
  - a. Independence
  - b. Optimism
  - c. Diligence
  - d. Selfishness
3. Research Value: Through the analysis of Scarlett's individualism, to help readers establish an objective and right understanding of individualism

### II. The Embodiment of Individualism in Scarlett

#### A. Scarlett's Independence

1. Love



- a. Three Marriages
  - (1) With Charles Hamilton
  - (2) With Frank Kennedy
  - (3) With Rhett Butler
- b. Adoration of Ashley Wilkes
  - (1) Advocating free love
  - (2) Still loving Ashley even when he is married
- 2. Career: Against Traditional Female Notions of Upper Class
  - a. Running business by herself like men
  - b. Riding in a carriage in Atlanta publicly
- 3. Life: Regardless of Secular Notions
  - a. Eating as she wants at balls
  - b. Refusal to pretend ignorance in front of men
  - c. Dancing as a widow at balls

## **B. Scarlett's Optimism**

- 1. Love
  - a. With Ashley: Believing in love with Ashley
    - (1) Before Ashley's marriage: believing that Ashley would marry her
    - (2) After Ashley's marriage: believing that Ashley loves her even when he is married
  - b. With Rhett: Believing that Rhett will come back to her and tomorrow is another day
- 2. Career
  - a. In Tara: Believing that Tara can be as it was before
  - b. In sawmill: Believing that she can run a sawmill better than men
- 3. Life
  - a. Herself: Believing that she could survive Civil War
  - b. Helping Melanie: Believing that Melanie could have a baby during Civil War.

## **C. Scarlett's Diligence**

- 1. Love
  - a. With Ashley
    - (1) Before Ashley's marriage: Confessing love to Ashley actively
    - (2) After Ashley's marriage: Still pursuing Ashley and making opportunities to meet Ashley
  - b. With Rhett: Ready to get back Rhett's love
- 2. Career
  - a. In Tara: Picking cotton in the sun
  - b. In the sawmill: Working even when pregnant
- 3. Life

- a. Herself: Marrying Frank and Rhett to survive the war
- b. Helping Melanie: Never giving up in saving Melanie and Melanie's baby

#### **D. Scarlett's Selfishness**

- 1. Love
  - a. Marriage with Charles: Getting Charles from Ashley's sister
  - b. Marriage with Frank:
    - (1) Married for money
    - (2) Getting Frank from her own sister, Suellen
  - c. Marriage with Rhett: Married for money
  - d. Love for Ashley: Damaging Ashley's marriage
- 2. Career
  - a. Giving up saving the wounded during the war
  - b. Living a rich but immoral life after marriage with Rhett
  - c. Despising Belle Walting for Belle's job
- 3. Life
  - a. Hiring and exploiting released prisoners for their cheap labor power
  - b. Cooperating with Yankees to win in competition with fraternity

### **III. Positive Influence and Negative Impacts of American Individualism**

#### **A. Formative Background**

- 1. Beliefs of Puritanism
  - a. Diligence
  - b. Thrift
  - c. Abstinence
  - d. Devotion
- 2. American War of Independence
  - a. Resulted from individualistic awareness
  - b. Resulted in the vindication of individualism

#### **B. Positive Influences**

- 1. Independence:
  - Boosting the formation and development of American democracy
- 2. Optimism and Diligence:
  - Spurring economic growth and social prosperity of America
- 3. Constituting diversity of American culture, especially American dream

#### **C. Negative Impacts**

- 1. Engendering popularity of Hedonism
  - a. Excessive pursuit of material comforts
  - b. Advocacy of consumption instead of thrift
- 2. Widening the gap between the rich and the poor

3. Leading to deep-rooted racial discrimination and social problems

a. Three levels of races:

The White the best race, the Black the worst race, others the secondary race

b. More drugs, violence and murders in society

**D. Evaluation: A Double-edged Sword**

1. Advantages outweigh its disadvantages:

Individualism makes the United States the superpower

2. Significance:

a. Selecting the essence: independence, optimism and diligence

b. Discarding the dross: selfishness

句子式提纲要求所有纲目（包括主要论点、次要论点和事例说明）以完整句子的形式表述，从而详尽地突出每段的实质内容或中心思想。比如：

## **We Are the Ones That We Have Been Waiting for: Black Women's Quest for Self-acceptance in *The Bluest Eye***

### **Outline**

Thesis statement: *The Bluest Eyes* depicts black women's self-denial and their need to seek self-acceptance from their own community, family and from themselves.

## **1 Introduction**

1.1 *The Bluest Eye* depicts some black women's search for self-acceptance.

1.2 The paper aims to discover the causes of black women's self-denial and their search for self-acceptance.

## **2 Body**

2.1 Pauline finds her self-worth after several setbacks in her life.

2.1.1 She denies herself because of her lame foot. Her husband gives her confidence.

2.1.2 Disappointed at her marriage, she finds new hope during her pregnancy.

2.1.3 Disillusioned when giving birth, she finds acceptance in the white family that she works for.

2.2 Pecola never fits in the white society.

2.2.1 She is not accepted by her family.

2.2.2 She wants to change her appearance to change her life.

2.2.3 She goes insane after being denied opportunities to find herself

2.3 Claudia finds acceptance through her family.

2.3.1 She is accepted by her family.

2.3.2 She has the courage of questioning the established value system.

### 3 Conclusion

Black women need to seek self-acceptance from their own community, family and from themselves.

以上标题式提纲和句子式提纲的框架结构清晰，要点简明到位，逻辑思路合理，语言表述准确，对接下来的文章写作非常有帮助。

段落式提纲下每一条目都是一个完整的段落，通过段落把该部分内容概括出来，是句子式提纲的扩充。它精细、周详，整篇提纲呈现出的就是一篇简缩的论文，但有时文字较多，费时费神。段落型提纲适用于较长的论文，在学士学位论文中并不常见。以下是段落式提纲的一篇例子。

### Rasputin's Other Side

Thesis statement: After six decades of being judged a demoniacal libertine, Rasputin now deserves to be viewed from another point of view--as a man who was intensely religious, who passionately desired peace, and who was deeply devoted to his family and friends.

I. Rasputin himself always attached great significance to the fact that at the time of his birth, a shooting star was seen streaking across the horizon. He considered the phenomenon to be an omen that he was fated to have influence and special powers. The popular historical view of Rasputin paints him primarily as evil. In his day, however, he attracted numerous supporters, who thought of him as their spiritual leader. But he also had many detractors who called him a satyr and accused his followers of sexual depravity.

II. Rasputin had intense religious feelings. He was so filled with vitality and exuberance that he could stay awake until the early hours of the morning, dancing and drinking in frenzied religious fervor. He did not have the theology of a sophisticated church cleric; instead he expressed his religion in the simple terms of a Russian peasant.

III. Rasputin's passionate desire for peace in Russia revealed itself in several ways. For instance, he was concerned for the Russian underdogs, for the peasants and the Jews, always encouraging the tsar to protect these unfortunate groups. And, his humanitarian and pacifist nature made him a determined opponent of all wars.

IV. Rasputin had a gentle, compassionate side. He was completely devoted to the tsar's family and was known to have had a calming influence on the hemophiliac son of the tsar. Maria Rasputin gives a glowing report of her father's kindness and love.

需要强调的是，无论是标题式、句子式，还是段落式提纲，同一级提纲需保持其语法和组织结构上的一致，以突出纲要性，从形式上形成逻辑清晰、层级分明的视觉效果。

## 4.5 关于提纲写作的几点建议 ◀◀◀

正如前文提到的，完整的提纲实际上就是一篇论文的雏形。在动笔之前，应认真查阅研究领域的相关资料，对论文将要涉及的背景知识、理论、研究现状和进展有一个大致的掌握。这样在写的时候才不至于言之无物、文不切题。

那么应该使用哪一种提纲呢？笔者的建议是，如果对所研究的主题有较深入的了解，并对自己要撰写的内容有一个清晰的目标，那么可以毫不犹豫地使用较为详细的句子式提纲。这样在写论文初稿的时候，能够直接从提纲里的主题句进行扩展，省时省力；相反，如果对自己要写的内容只有一个粗略的概念，并不十分清楚是否可行，那么可以从标题式提纲入手，经过指导老师过目、修改后再扩展成论文。

在提笔之前，作者有以下几点建议。

- (1) 提纲的行文层次要明晰，处于同一层面的纲目要互相对应。
- (2) 一篇论文提纲中的纲目不可将词组与句子混用。
- (3) 无论是采用标题式提纲还是采用句子式提纲，提纲的每个条目都必须遵守题目的大写规则，句子式提纲里纲目的末尾要加上句号。
- (4) 每一层面必须有两个以上的纲目。一篇提纲里不能只有一个主要论点，每个主要论点之下不能只有一个次要论点，即每一层纲目至少有两个并列项。

## 4.6 结语 ◀◀◀

学术论文的写作，从论点到提纲到最后的成稿，并不一定是水到渠成的，恰恰相反，写作过程中常常会有一些不可预见因素，让一篇文章的完成并非那么一帆风顺。很可能作者在拟好提纲后，发现自己写出来的东西与原先设想的大相径庭，这时就不得不将原先的提纲推翻重写。实际上，很多人都会经历拟定提纲→动笔撰写→推翻重写这样一个反复摸索的过程，但从另一方面想，这恰恰也是思维活跃的体现。所以笔者的建议是，保持一个良好的心态，面对问题及时调整，这对提纲以及整篇论文的撰写大有帮助。



# 第5章



## 正文的撰写

### 5.1 引言 ◀◀

一般而言，在完成了论文提纲后，就进入了论文正文的写作阶段。正文一般由三部分组成：引言（introduction）、主体（body）和结论（conclusion），这三部分有时也分别被称为绪论、本论和结论。以下统称为引言、主体和结论。

引言可以是开篇的一个独立的部分，也可以单成一章。该部分应对研究主题、研究背景或原因、目的和意义、前人所做的相关研究、论文纲要、自己新的研究方法等必要内容做一个清楚明确的说明。另外，理论概述可以包括在引言中，也可以独立成章，可视情况而定。

主体部分是论文的论述部分。该部分要对论文提出的论点加以论证，主要包括论据和论证。通过提出问题、分析问题和解决问题，比较各种观点的异同及其理论根据，从而印证作者的观点。通常，由于主体部分篇幅较长，内容较多，一般应分章节进行讨论。各级章节应有小标题，同级的标题应尽可能保持结构、内容和长短上的一致。

结论是论文的最后一章，是对整个论文的总结和概括。应在结论中对论文的核心观点和结论进行总结和概述，同时也可说明作者自身研究中还存在的局限性、未解决的问题等，并提出进一步研究的建议。

### 5.2 论文的引言 ◀◀

如前文所述，毕业论文的引言部分应对研究主题、研究背景或原因、目的和意义、前人所做的相关研究、论文纲要、自己新的研究方法等必要内容做一个清楚明确的说明。本节就引言部分的写作，主要讨论以下两个问题：一是引言的一般结构；二是引言的常用句型。

#### 5.2.1 引言的要素

首先介绍一种典型的引言框架结构。需要说明的是，并非所有的论文引言部分都一定按照这个框架结构来撰写。介绍这种常见的结构，意在引导学生思考应该如何组织安排各部分内容。这种结构往往包括以下几层内容。

- （1）点明本文的研究领域、研究背景以及重要意义。
- （2）简要回顾前人的相关研究成果。在实际论文写作中，许多研究者都将文献综述单

列一章，即文献综述不一定必须列入引言部分。对于英语专业本科生来说，我们建议将文献综述置入引言部分。当然，文献综述也可出现在讨论中，这需要视具体情况而定。

(3) 在总结前人研究成果的基础上，就目前该问题研究上的空白或不足提出问题，并提出自己的观点。

(4) 提出自己的研究目的、主要研究方法和任务等。

(5) 介绍论文的大体结构，以及每部分的主要内容。

【示例】

## Using Microcomputers in Teaching

### Introduction

During the past 40 years, the United States has experienced the integration of the computer into life of people. Progress has been made to the point that small, inexpensive computers are available for innumerable uses. Many schools have purchased and are purchasing microcomputers for infusion into their directed learning programs.

Most individuals seem to agree that the microcomputers will continue to play an important role in education. Gubser (1980) and Hinton (1980) suggested increases in the numbers of computers both in schools and home in the near future. Schmidt (1982) identified three types of microcomputer use in classroom: the object of a course, a support tool, and a means of providing instruction. Foster and Kleene (1982) cite uses of microcomputers in agriculture: drill and practice, simulation and problem solving. The findings of studies examining the use of various forms of computer-assisted instruction have mixed. Studies by Hickey (1968) indicated superior result, but studies by other researchers indicated little or no significant effect. Although much work to analyze data has been done, more studies need to be conducted to ascertain the effects of microcomputer-assisted instruction in teaching various subjects in a variety of learning situations.

The purpose of this study was to ascertain the effect of using microcomputer-assisted instruction as compared to a lecture-discussion technique in teaching principles and methods of language acquirement in EFL context to senior students of education. This topic was identified as being of importance to teachers in providing them the necessary background to teach lessons in this field.

The thesis consists of four parts. Part one is the introduction, which informs the readers of the background and the purpose of the study as well as the organization of the thesis. Part two is the literature review, presenting studies done by other scholars both home and abroad. Part three is the core of the thesis, which describes the analysis of the text conducted by the author. Part four concludes the thesis by discussing the significance of the study and some limitations.

从上述示例中，我们可以清晰地看到典型的引言部分的结构和内容安排。示例中的第

一段说明了本研究的背景及重要意义等。在第二段中，作者对前人的研究成果进行了概括性的总结，并说明了以往研究的不足之处。第三段介绍了本文研究的目的、意义等。最后一段介绍了论文的结构及每一部分的主要内容。

### 5.2.2 引言的语言

引言中各个部分都可以使用一些固定的句型来表述。很多刚刚接触学术论文写作的本科生倾向于用写作文的方法来撰写学术论文，造成论文的语言表述过于随意，不够正式，也不符合学术论文的文体特点。因此，了解并掌握一些基本句型对本科生来讲是非常重要的。下面介绍一些引言中各个部分的写法和通用句型。

#### 1. 开头

开头一般会介绍论文的研究领域和范围，常见句型如下。

Recently, there has been growing interest in...

Recently, researchers have shown an increased interest in...

In recent years, applied researchers have become increasingly interested in...

Over the past century there has been a dramatic increase in...

The increasing interest in...has heightened the need for...

The possibility...has generated interest in...

The possibility of...has generated wide interest in...

It is becoming increasingly difficult to ignore the...

In the new global economy, X has become a central issue for...

The development of...is a classic problem in...

The...has become a favorite topic for analysis...

The study of...has become an important aspect of...

The...has been extensively studied in recent years.

Many investigators have recently turned to...

The relationship between...has been investigated by many researchers.

Many recent studies have focused on...

One of the most significant current discussions in language learning is...

The explication of the relationship between...is a classic problem of...

Knowledge of...has a great importance for...

The study of...has become an important aspect of...

The effect of...has been studied extensively in recent years.

#### 2. 前人主要研究成果

在总结前人研究成果的过程中，主要涉及两种不同的引用方式：

##### (1) 整体式引用形式 (Integral citation)

被引用作者的名字准确地在文章中出现，但内容本身已经重新组织撰写，或者是引用的文字部分整合在句子中。用途主要是表明写作者在参考某人的研究发现，但并不一定表明同意或接受该事实。通常，此种形式出现的作者都具有一定的权威性。

例如：



Politzer (1972) showed that CA (Contrastive Analysis) is a central and substantial component of applied linguistics.

CA as a central and substantial component of applied linguistics was established by Politzer (1972).

Politzer's theory (1972) claims that...

According to Politzer (1972), ...

### (2) 非整体式引用 (Non-integral citation)

这种引用较上一种更笼统一些，常将好几个引用的作者名字一起放在括号里，侧重于别人的研究发现而不是侧重于研究者本身。

例如：

Previous research has shown that... (Politzer, 1972).

It has been shown/established that... (Politzer, 1972).

CA (Contrastive Analysis) is a central and substantial component of applied linguistics (Politzer, 1972).

### 3. 指出前人研究的空白或不足之处

在这一部分，作者需要指明前人研究中空缺或不够充分的地方，或正在研究中但是尚未解决的问题，或者是一些已经由某些学者提出，但是仍需要进一步深入研究的问题。主要常见句型如下：

However, no research has been conducted on...

However, far too little attention has been paid to...

So far, however, there has been little discussion about...

But few studies have been done on...

Few studies have examined...

Very little is known about the impact...

Although some information is available on X...

Although many studies have been done on X...

While much research has been conducted on X, little knowledge is available on Y.

To date there has been little agreement on...

None of the findings indicate...

Although much research has been devoted to...rather less attention has been paid to...

While many studies have examined...far fewer have examined...

### 4. 介绍论文写作的目的和任务

常用句型如下：

The purpose of this thesis is to analyze/investigate/explore/examine...

This thesis describes/presents the result of...

This thesis will discuss/deal with...

This thesis will focus on/examine/give an account of...

This thesis seeks to address the following questions:...

This essay critically examines/discusses/traces...

This thesis will review the research conducted on...

The aim of this paper is to determine/examine...

### 5. 表达论文和研究的意义

可以用以下句型:

The analysis may provide new insights into...

It is hoped that this study will provide further insights into...

The study may provide an alternative to the problem of...

This research will contribute to the field by...

The results of this study should be useful in...

The results of this research have the potential to...

The result of this research could be useful to authorities and educators responsible for...

This topic was identified as being of importance to teachers in providing them with the necessary background to...

Both of the factors under investigation in this study may be of importance in...

Results of this study may suggest a need for further research into...

### 6. 介绍论文结构

常见句型如下:

The author has organized the rest of this thesis in the following way...

This thesis is structured as follows...

The remainder of this thesis is divided into five sections. Section one describes...

The thesis contains four parts: Part one...Part two is...Part three...Part four... (Please refer to your outline.)

This paper has been divided into four parts. The first part deals with...

The essay has been organised in the following way.

This paper first gives a brief overview of the recent history of X.

This paper begins by...It will then go on to...

The first section of this paper will examine...

总之, 毕业论文的引言部分作为正文的开头部分, 关系到整篇论文的逻辑性和学术性。该部分应注意的问题包括:

(1) 开头部分要开宗明义, 直指要点。

(2) 对相关研究成果进行总结和介绍时, 应选择相关度较大的重要研究成果, 尽量不要简单罗列, 而应该找到不同学者对同一问题的观点有何联系与不同之处, 按照一定的时间和逻辑顺序进行概述, 并凸显自己的研究论题与前人研究的不同之处或不同观点。

(3) 绪论的撰写没有固定的格式和要求, 要根据具体的研究方向和撰写内容采取不同的写法。可用一段或几段的篇幅引出论题。每个部分的分量也可以有所差别。

## 5.3 论文的主体

论文的主体 (body) 部分也是论文的本论部分, 它是论文的核心和灵魂。在这一部分,

作者要展开论题,用最有说服力的论据在最长的篇幅内表明自己的观点和研究成果的部分,它不是简单地堆砌例子和材料,而是采用分析推理的方法论证论点(李正栓,2006)。这一部分最核心的三要素就是论点、论据和论证。

### 5.3.1 关于论点

在提出论点时,作者要注意以下几个问题。

(1) 论点要具体而明确。论点首先要避免过于简单、模糊。例如“William Shakespeare is the greatest writer”。类似这样的表述尽管没有任何错误,但是由于其过于宽泛并缺少重要信息,作为论点来讲显然是不合格的。论文写作中的论点应表达出更加深刻和具体的意义,也就是信息的核心部分“greatest”应该用更加具体而明确的语言来表述,如“William Shakespeare's writing combines elements of foreign legends and locally found materials to create a unique new style”或“There are many strong similarities between Shakespeare's writing and those of his contemporaries”。

(2) 立论要有依据。也就是说,我们论证的论点一定要有一个正确的立足点,而不应该仅凭自己的主观感受,随意拟定一个论点。许多刚刚接触学术论文写作的学生在选择自己的论点时,经常根据自己平时阅读中的体验,随意提出论点。比如某位学生在阅读一些幽默的文学作品或者观看一些幽默的影视作品之后,就武断地做出论断:“幽默是不可译的。”而这个论点明显是站不住脚的,因为有些幽默当然是可译的,就算是某些表面看起来不可译的幽默,经过一定的翻译技巧的处理,也能达到同样的幽默效果。如果这位同学能够把论题的范围缩小到某一类特殊的幽默的翻译策略,那么这篇论文将更具学术性和应用价值。

(3) 要有一定的新意。对于本科生来讲,提出新的观点是非常困难的。我们建议初学论文写作的同学可以在大量阅读他人已发表的论文的基础上,不妨尝试“旧瓶装新酒”或者“新瓶装旧酒”。例如,用新的方法研究老的问题,或者用一些成熟的、广为人知的理论分析新的作品,或把理论应用到新的领域等。论点的创新需要平时大量的阅读,研究别人的立论方法,再结合自己感兴趣的方向,经过严谨的思考,反复推敲最后拟定出来。

### 5.3.2 关于论据

有了论点,论文就有了“立足之地”。接下来的任务就是要找到足够的论据来支撑论点。所谓论据,顾名思义,就是立论的根据,也就是作者用来证明论点的理由和事实。

论据的种类有很多种,最常见的有以下几类:

(1) 一些专家、学者已经提出并已经为学术界所广泛认可的理论。

(2) 通过现场观察、实验、录音、调查问卷、访谈、个案研究、现场记录以及日记等方式收集到的数据或其他形式的信息。

(3) 做英汉对比、翻译、文体分析等类论文时收集整理的语料等。

在使用论据的过程中应注意:首先,支撑论点的理论论据要有权威性,一定是在学术界广泛认可和接受的理论;其次,论据要真实,不可凭空捏造,尤其是数据类论据的统计计算要严谨,绝不可为了证明自己预期的结果而任意篡改;再次,使用论据要有所选择,只使用能够充分说明论点的论据,使用过于牵强或没有说服力的论据反而不如不用;最后,语料类论据既要有“量”,还要有“质”。只有足够数量的语料才能证明你所验证的语言现象不是个别的、偶然的,只有高质量的、地道的真实语料才能真正展示语言现象和

使用倾向。

### 5.3.3 关于论证

论证,就是用事实和道理去证明论点的过程。论点和论据只有经过合情合理、有理有据的论证才能融为一体。论证是毕业论文中最难的一部分,既要讨论研究发现的意义,又要阐明该领域已经存在的研究,自己的研究与前人研究的关系,阐明其观点、理论等,还要论证论文所提出的论点等一系列问题。如研究涉及多个因素或变量,则分节进行讨论。

在论证时,要注意以下问题:

(1) 论证过程中要选择跟论点之间有直接的、内在的联系的论据,论点和论据之间不能是“两张皮”。

(2) 论证过程要符合逻辑,前后一致。

(3) 将大的论点拆分为多个分论点,分别论证,纵横伸展。

(4) 对于理论型论据要经过梳理和筛选,不要过多地大段直接引用。

通常情况下,大多数的论证方法适用于各种类型和方向的论文,也有个别类型的论文会有自己较为通用的论证方法,例如:

文学研究类论文通常运用解读式论证的方法。这种方法既可以用来逐行逐句分析探讨诗歌的思想和艺术内涵,也可以用来解读小说或戏剧中的某一场景对白或章节。

英汉语言文化对比类的论文通常使用比较对比论证的方法。对比论证可以对两个事物或两种语言进行横向对比(交替式)或纵向对比(整体式)。前者一般是将比较的两个事物的相同或不同点按照比较对比点一一列出,再进行深入分析。而后者则是先将一事物的特点按照比较对比点列出,再将另一事物的特点也相应列出,纵观全局,得出结论。通常情况下,由于学术论文篇幅较长,内容较复杂,多使用横向比较(交替式)的论证方法。

英语教学研究类论文属于实证研究类论文,较多采用归纳式和演绎式论证。

归纳式论证事先没有形成观点,通过实证研究、分析得出结论。比如一篇名为《任务型教学方法在英语教学中的应用》的文章采用的就是归纳式论证。在引言部分作者阐明研究目的:探讨高校英语课堂上使用任务型教学方法对教学效果的影响。在实证研究部分,作者介绍了实验设计,包括变量、被试、材料、测试评分等组成部分;实验过程,包括实验前的测试、教学实验,以及实验后测试;结果与讨论,包括两个平行班之间的差异、实验班与对照班的比较。最后得出结论,任务型教学方法结合合作学习对于一定的学生群体而言具有积极作用。

演绎式论证则以假设为出发点,事先进行预示,通过实验数据进行验证。一篇旨在对中国内地英语学习进行实验研究,调查邻近原则习得的文章《成人二语习得中邻接原则的可及性研究》首先提出了四个研究假设:学习者拥有的以普遍语法形式存在的内部语言结构在二语学习中仍起作用;母语中没有激活的或被应用于不同领域的普遍语法参数在二语习得中不存在母语迁移,母语语法此时不是二语学习的初始状态;一旦学习者的参数设定为一定的值,理论上依赖于此参数的一系列表面上互不相关的结构在中介语中都可以被习得;如果普遍语法可及,教师组和学生组的语法判断表现应该相似。随后用实验方法、受试、测试材料和测试程序予以检验,通过结果与讨论得出结论:中国英语学习者能成功习得母语中没有激活的或被应用于不同领域的邻近原则,即重设邻近原则的英语参数值。实验结果为外语学习中普遍语法的直接可及假说提供了新的佐证。



除了以上论证方法之外,还有许多其他的论证方法普遍应用于各种类型的论文中,例如:

(1) 分析式论证法。这种方法既可以用来进行某一文学作品的分析,例如分析一部作品的情节结构、叙事方法、人物性格特征和刻画、象征手法、思想主题、语言修辞等,也可以用来分析某种语言现象的性质、用途和意义,如广告用语的特色和文体风格、前置词短语的句法功能、母语/方言对英语语音学习的影响等;甚至在翻译类论文中,也可以使用这种方法,分析翻译技巧、翻译标准、翻译风格等。在社会文化方面,可分析某民族的价值取向与特点,如美国的个人主义价值观、成功意识、家庭、爱情和友谊观、宗教观等。

(2) 引证法。就是援引某些理论或权威的话加以佐证。需要注意的是,在引证时要避免大量整段的抄袭。除直接引用外,还可以采取转述、总结等手段。

(3) 例证法。在语言学和语言与文化方向的论文中较多采用这种方法。关键是要注意例证与观点要直接相关,不能脱节。

(4) 因果论证。这种方法就是通过分析原因或结果的方式对中心论点加以论证,也是较为常用的一种论证方式。

(5) 分类论证。例如研究某一类体裁的文体特点,就必须依照一定的标准分类说明该体裁的各种文体特征。

最后,介绍一些论证部分可参考使用的英语句型,例如:

It has been shown that...

As has been stated (proved) that...

It was proved (reported) that...

Hayman (1982) pointed out that...

Two methods have been employed to estimate the...

Smith et al. (2000) reported that...

In spite of the potential importance of...

We hypothesize that under conditions of...

The following questions need to be answered: ...

We have examined the effects of...on...

Although increasingly more is known about...

Many studies have brought out that...

Many previous studies have shown that...

Some information is also available as to...

In the present study...was researched under conditions of...

We are also interested in...

In addition to our interest in understanding...

The results made by...have shown...

Recent evidence suggested that...

Recent experiments by...have suggested...

To meet this challenge, a great deal of effort focusing on...

However, it is becoming increasingly clear that...



## 5.4 论文的结论 ◀◀

结论是论文的最后一部分，作者要在这一部分中总结论文的主要观点和结论，强调文中的重要部分和创新之处，阐释论题在相关领域中的意义，点明本研究的局限性和不足之处，最后还可以对未来的进一步研究提出建议。由此可见，一个好的结论并不仅仅是一个简单的总结，更需要对其进行理论上的升华，阐述新的学术见解。

下面给出一篇示例。

## 5 Conclusion

### 5.1 Significance of the Study on Cultural Vacancy

Translation is not only a kind of transfer between SL and TL but the one between two cultures. Cultural vacancy in literal translation is a special and complicated phenomenon. While in this process, the translators should bridge the cultural vacancy which is a most difficult part. In this thesis, the author compared the three English versions of the Chinese popular novel *Ah Q Zheng Zhuan*. The three versions are translated in different time and the translators are from different cultures. This thesis tries to explore translation strategies from the viewpoint of cultural vacancy. As cultural turn appeared in the 1970s, translation studies have focused on philosophy, psychology, sociology, and other theories from cultural studies. When one culture is introduced to people from other cultures, there will be vacancy, which will bring in inevitable barriers. Therefore, it is very significant to do this study.

From the study of these three versions of *Ah Q Zheng Zhuan*, we can see that to construct a piece of good translation, the translators will be required to have high requirements. As Nida said, “It is always assumed that translators are at least bilingual, but this is really not enough. To be a fully competent translator one also needs to be bicultural in order to ‘read between the lines’. A translator must be able to sense what is purposely left implicit in the source text and what can and should be made implicit in the translated text. In fact, too many translations are needlessly long, since translators believe that they must explicitly represent every word or innuendo in the text” (Nida, 1993: 134). One of the very implicit elements is involved with culture vacancy. In this thesis, the author compares three translators’ translations, which present us various methods to deal with the cultural vacancy, and we can find each one tries his best to transfer the culture in the original text and to let the readers enjoy the prosperous Chinese culture. Although there might be some barriers in translation, each version is outstanding. The analysis of cultural vacancy and translation strategies studied above will offer a practical example for the future culture translation study, especially in the aspect of cultural vacancy.

### 5.2 Value for the Intercultural Communication

With the formation of the globalization, cultural communication has become part



of people's life. There is no doubt that China has rich and prosperous culture, and a lot of literary work has made vivid records of Chinese culture. Ah Q Zheng Zhuan is a master piece containing lots of culture elements. Thus the translation of such work can well enhance the communication between Chinese and western cultures.

As far as translation is concerned, where there is intercultural communication, there are cultural conflicts. The analysis of translations reveals the conflicts, clashes and distortions between different cultures in translation. To achieve successful intercultural communication, we should pay more attention to cultural vacancy. It is known that the cultural vacancy in different cultures will definitely bring in cultural interferences, which often lead to failures or complete discontinuance in intercultural communication. The study and comparison of the three English versions of Ah Q Zheng Zhuan bring us different types of cultural vacancy and strategies to solve the cultural vacancy. Although the strategies may not be perfect, they do overcome some barriers in the intercultural communication and spread Chinese culture to other nations, especially make the readers know more about the culture at the early time of People's Republic of China.

In intercultural communication, the translator is a mediator. In intercultural translation, it is his task to get rid of the misunderstanding and convey the meaning of the source language culture to the target text readers. In translating this novel, according to the translators' different background and different aims, they interpret and explain the cultural information of the source text into the target culture by different methods to promote the mutual exchange and integration of the cultures. Therefore, the cultural translation also stresses the importance of translators. Therefore, it raises higher qualifications and demands for the translator, as he or she plays an important role in the transference of the culture.

The different translation strategies and diverse translation methods present a prosperous and active situation, and provide us a more profound and broad perspective to study cultural translation, which will improve the spreading of Chinese culture to other nations and promote the communication between different nations.

### 5.3 Limitations and Suggestions

In this study on the translation of Ah Q Zheng Zhuan, we do have a clearer picture of the cultural vacancy covering various aspects, which deserve our great attention. The concerning translation strategies will do a favor to our study on how to translate literary works, especially in terms of cultural vacancy. However, there still exist some limitations. First, the thesis discusses the typical and significant examples but can not cover all, which may lose some important points and ideas. Second, there are some overlaps for certain elements when making the classifications of the cultural elements in the appendix. Through the author's study, some elements have got its classifications.

For further study, we may classify the cultural elements in more detailed

categories, and each kind of translation strategies should be collected to form a statistic summary. As there still exist translation barriers in the three versions, we may find a more proper way to translate some of the cultural elements. In this way, the translation of Ah Q Zheng Zhuan can adopt the refine points in the three English versions, and become a better translation version for the foreigners, and all in all, a better way to transmit Chinese cultures to other nations.

这是一篇题目为“文化空缺与翻译策略——析《阿Q正传》三个英译本”的学位论文的结论部分。通过三个小标题，我们可以清晰地看到该部分的结构。首先，作者在总结论文主要观点的基础上，探讨了该题目在更加广泛的研究背景下的意义，即对文化空缺研究的意义以及对跨文化交际研究的意义。然后，指出了本研究的局限性和不足之处，并对未来的进一步研究提出新的方向。

总之，结论部分是毕业论文有机整体的一部分，具有回顾性和回溯性。结论部分在整篇论文中起到结束全文的重要作用，必须对全文做出总结，重申论文中的主要论点，并强调研究发现的重要性。在撰写结论的过程中，需要注意以下几点。

(1) 学术论文的结论篇幅长短应适宜，篇幅过长会喧宾夺主，而篇幅过短则无法在对论文中提到的诸多问题进行总结。

(2) 文中的主要观点和重要结论，尽量不要照搬引言中的原话，可以用另外的表述方法或角度重新表述。

(3) 要特别说明本文的新意，并由此引出论文的重要意义。

(4) 要对未来的相关研究有所展望，最好提出如何进行进一步研究的建议。

简言之，正如李旭（2007）所概括的，结论要言简意赅、强调论点、客观公正。

最后，介绍一些结论部分可能用到的句型：

The primary objective of our study was to examine...

The goal of this study was to select...and to see whether the...

The objective of the current study was therefore to examine the effects of...on...

This thesis describes an experiment done to test the effects of...on...

Our objectives were (1)...,(2)...

In summary...

To summarize...

The conclusion is that...

On the basis of the above discussion, we may come to...

Through the analysis of... we may conclude as follows:...

The writer concludes that...

The author finds that...

In this thesis, we have explored...

In this thesis, we examine...

This thesis shows/reveals/concludes that...

## 5.5 论文写作常见的语言问题与对策

高质量的论文不仅取决于充实的内容,清晰的逻辑,还取决于流畅的语言表达。毕业论文属于正式文体,因此在语言上应力求正式、准确、客观、严密、简练、富有逻辑性。

然而,英语毕竟不是我们的母语,因此用英语写作难免会出现这样或那样的问题。有些问题普遍存在于英语专业本科生的毕业论文当中,常见的有用词不准、搭配不当、句型结构不规范、句子间无关联、段落间无衔接、章节间无呼应乃至标点符号使用杂乱等。这些问题反映了学生英语书面表达能力薄弱,缺乏扎实的语言基本功(包括词汇、语法知识及其运用能力),缺乏充分的或有效的写作训练。学生英语表达能力较低是写好毕业论文的一大障碍,也是产生抄袭动机的一大根源。由此看来,加强书面表达能力训练是英语专业教学体系中的一个严峻问题。

为了帮助学生改进论文中的语言问题,保证论文质量,本节将从词汇、句法和篇章三个层面,列举一些本科毕业论文中出现过的典型问题,并提出具体的修改意见,以帮助学生首先认识问题,最终在撰写论文的过程中注意这些问题并尽量避免。

### 5.5.1 选词问题

一般写作都要求用词清楚(clearness)、准确(accuracy)、得体(propriety)、有力(effectiveness)。而论文写作除以上要求外,还具有专门术语多、词语正式的特点。用词方面常犯的错误有以下几种。

(1) 选词不够正式。选词问题是论文写作中一个非常重要的问题,学生经常会使用一些口语化的小词或短语,例如 look into, make up the mind, make it 等。而这些表达更为口语化,且不够精练,在论文中应尽量替换为 investigate, determine, succeed 等。另外,学术写作中还应避免使用缩写形式,如 don't/isn't/shouldn't/mustn't 均应改为 do not/ is not/ should not/ must not。

(2) 用词不够客观。写论文时应尽量避免使用带有歧视性的词语,而应选择中性的词语来表达。例如一些表述职业的词语就有褒贬词和中性词之分,试比较下面两组词语:

#### Biased:

chairman  
congressman  
fathers (of industry)  
housewife  
man (verb)  
man and wife  
man-hour  
mankind  
man-made  
manpower  
poetess  
policeman

#### Neutral:

chair, chairperson, coordinator, director, head  
congressional representative, member of congress, senator  
founders, innovators, pioneers, trailblazers  
homemaker, woman  
operate, serve, staff, tend, work  
husband and wife  
operate hour, time, work-hour  
human beings, humanity, humankind  
artificial, fabricated, manufactured, synthetic  
crew, personnel, staff, workers, workforce  
poet  
police officer

spokesman

representative, spokesperson

freshman

first year student

heroine

hero

### 5.5.2 语法问题

论文中的语法问题主要体现在人称、时态、语态、句式等方面，主要问题如下。

#### 1. 关于人称问题

很多学生习惯在文中使用第一人称，给读者的感觉像自我介绍和个人评论，不符合论文的语言表达特点。例如：

e.g. 1 I try to focus on the mother-daughter relationship as a clue to analyze the cultural differences between the east and the west.

e.g. 2 First I want to pay attention to mother Suyuan and daughter Jingmei, who is one of the representative mother and daughter in the book.

在上述两个例句中，作者都是以第一人称开头，这种表述削弱了论文的客观性，在需要使用第一、第二人称的地方，可以使用诸如以下的替代结构。

This thesis studies/is aimed to...

It gives an analysis of...

It is concluded that...

The discussion demonstrates...

The analysis shows...

It is reported/said/indicated that...

所以建议上述第一句例句可以修改为：

The thesis takes mother-daughter relationship as a clue to analyze the cultural differences.

而第二句应和后面的信息进行整合，使语言更加简洁：A representative pair of mother and daughter in the novel are Suyuan and Jingmei who...

当然，在“致谢”部分可以出现第一人称（或第三人称），例如：

My heartfelt thanks are also due to...

I would like to acknowledge my indebtedness to...

I gratefully acknowledge the help of...

I would extend my sincere thanks to my tutor...

My work also owes much to... for his encouragement and great help.

This work was supported in part by...

The above research was made possible by a grant from...

This thesis would not have been possible without the support and assistance that I received from...

#### 2. 关于时态问题

时态使用不当是学术论文写作中经常出现的另一个重要问题。首先，请看两个时态使用不当的例句：

e.g. With the development of globalization and mass media, advertising **had** spread quickly all over the world and has produced great influence on people's daily lives.

e.g. The theory of Conversational Implicature and Cooperative Principle, which was proposed by Oxford philosopher H. P. Grice, **was** one of the most important theories when analyzing advertising language.

上述第一个例句中的“**had**”改为一般现在时或者现在进行时更合适，而第二句中的“**was**”应改为 **is**。为什么要这样修改？首先，要清楚论文中应该如何选择合适的时态。通常，学术论文中最常用的是一般现在时，由于出现的情况较多，我们就不一一列举了。还有一种经常使用的时态就是一般过去时，这种时态适用的情况如下。

(1) 在援引著作权威作为论据时使用。例如：

Ronald Barthes, for example, **invited** us to reconsider the role and power of the author in the making of a text...

当然，如果一些经典之作或大家之言对后世一直有深远影响，也可使用一般现在时。例如：

Roger Brown and Albert Gilman(1960) **propose** that the selection of pronouns is governed by two semantic components which they call power and solidarity.

(2) 汇报试验过程或结果时使用。例如：

A comparative method of study **was** employed when conducting the research. 再比如：

A large number of examples **were** analyzed in order to classify the different cohesive devices in both Chinese and English.

简而言之，论文中往往使用最简单的时态，很少出现完成体，更不太可能出现过去完成体等。另外，在写论文的过程中需要注意使用过去时的几种通常情况。

### 3. 关于语态问题

论文中如果出现过多的主动语态，会使语言显得不够客观，不符合学术论文的文体特点。请看以下例句：

However, in some circumstances, Chinese has not so many substitutions to replace the substituted words, so the source text uses the cohesive device repetition, whereas the English version employed substitution.

上述例句应改为：However, there are not as many substitutions in Chinese as in English, so the cohesive device repetition is used in the Chinese text when substitution is employed in English.

学生往往习惯在论文中使用主动语态，这与其写论文时的思维方式有关。在写作过程中，有的学生首先用中文思考自己要表达的内容，然后再把自己头脑中的中文翻译成英文，而中文的特点就是很少出现被动语态的表述，这就使得初稿中大量出现主动语态的表达。解决这个问题的方法是，在写完之后要有意识地关注语态问题，并进行适当的修改。

然而，也要避免只有被动没有主动的情况。有的学生为了使用被动语态，竟然还会使用不及物动词的被动语态，这就是我们说的过犹不及。请看下面的错误表达：

This chapter is consisted of three parts.

应改为：This chapter consists of three parts.

总之,在语态上,英语的主动语态和被动语态均可在论文中使用。在反映客观事物的论文中,特别是介绍作者所做的工作时,被动语态使用得较多,因为被动语态更能表现事物的客观性。但是,在介绍研究目的和结论时可以使用主动语态,因为主动语态涉及人,能够较好地突出作者的努力,且主语部分可集中较多的信息,起到信息前置、突出主题的作用。

#### 4. 关于大量罗列简单句

毕业论文中常出现的另一个重大问题,就是使用与中文类似的流水句。流水句是一种典型的中式句法,广泛存在于汉语口语中。流水句的特征是句段与句段之间的语义联系比较松散,一般很难添加表示某种紧密逻辑关系的关联词语。请看以下两个例句:

(1) 紫鹃答应着,忙出来换了一个炭盆儿,将手里的这个盆儿放在桌子上,开了套间门出来,仍旧带上门,放下撒花软帘,出来叫醒雪雁。

——《红楼梦》(曹雪芹)

(2) 用不着您看家,待会儿有警察来照应着这条街,去,换上新衣裳去。

——《龙须沟》(老舍)

这种句式在英语中是非常少见的,更不会出现在论文中。然而,中国学生由于受到中式思维方式和母语迁移的影响,经常在英语论文中使用类似的句式。请看下面一段关于广告语“*Less bread. No jam*”的分析:

This ad is seemingly about food. However, it is about British subway actually. In some common sense, bread refers to money. And jam means traffic jam. Through this analysis, readers can find links between this advertisement and British subway. That is less money and no traffic jam. There is a connection between two different things in using homonyms. This method can arouse readers' curiosity.

在阅读过程中,我们会发现,作者罗列了过多的简单句,语言显然不够流畅,更重要的是,这样的表述显得逻辑性和严谨性较差,不符合学术论文正式的文体特征。

建议进行如下修改:

This advertisement, which seems to be about food, is actually about British subway. In some common sense, “bread” refers to money while “jam” has two meanings: ①the sweet substance you spread on bread and ②traffic jam. Figuring out the wordplay in this advertisement, readers, with a smile, will realize that it is promoting the use of subway which costs less money and avoids traffic jam.

比较两个版本的表述,可以明显感觉到修改之后的版本理论性、逻辑性、严谨性更强。所以,在写论文的过程中一定要注意使用较为复杂的复合句、长句和平行结构等,这样才能更加完整、深刻地论述中心论点。

#### 5.5.3 篇章方面的问题

论文的篇章主要有三个特性:层次性、逻辑性和连贯性。

首先,篇章的层次性是指论文中必要的部分,如引言、主体和结论一个都不能少。另外,同一层次的章节内容应并行不悖,围绕一个中心论点进行延伸;而大章节对小章节又能起到统领作用。这一点与起草提纲是一致的,关键是采用合理严谨的论证结构组织全文。

逻辑性是说在论题的论证过程中,论点、论据和论证三者需紧密结合,高度统一。此

外,还要采取合理的论证方法论述中心论点。

以上两点较为宏观,其实在层次性和逻辑性的把握上,从撰写提纲这一步时就开始了,而且要一直贯穿整个论文的写作过程。

最后,关于篇章的连贯性,是本节要讨论的重点。篇章的连贯性源于句子、段落和各分论点之间过渡自然、和谐而富有逻辑性。宏观层面的连贯性指的是文章整体结构要严谨、合理,这和前两个特性一样体现在论文写作的每一个步骤中。而微观层面的连贯性主要指句子和段落之间的过渡衔接,主要靠一些词汇和语法手段保持文章的完整性、连贯性。这一点恰恰是许多学生在撰写论文的过程中所欠缺的。

我们先观察一下下面的段落,这部分的标题为“Functions of Film Titles”:

① A good film title is not only the miniature of the film's soul but also a very crucial ornament of the film. ②The task of film title is to briefly summarize the content of the film and reveal the film theme, evoking the audience's interest and their rich association towards the film. ③The film title as the tag of a film is requested to express the content of the film with brief and vivid language. ④A good film title should not only stick to language norm but also be full of artistic charm in order to attract the audience. ⑤The translation of film titles should fully consider its specific functions thus to adopt corresponding translation strategy. ⑥Peter Newmark (2004:39-44) has introduced six language functions: the expressive function, the informative function, the vocative function, the aesthetic function, the phatic function, and the metalingual function. ⑦Normally, film titles serve the purpose of introducing, advertising and profit-making. ⑧Therefore, the functions of film titles fall into three categories, i.e. the informative function, aesthetic function and market function.

上述两个段落在层次性、逻辑性和连贯性上都存在重大问题。

第一,陈述内容没能紧紧围绕中心论点,有些语言甚至与标题无关:例如第二段中的⑤⑥两句:⑤The translation of film titles should fully consider its specific functions thus to adopt corresponding translation strategy. ⑥Peter Newmark (2004:39-44) has introduced six language functions: the expressive function, the informative function, the vocative function, the aesthetic function, the phatic function, and the metalingual function. 第⑤句的问题在于内容与主题无关。在讨论“电影片名的功能”的时候,没有必要探讨片名翻译应该注意哪些问题。第⑥句介绍了 Peter Newmark 关于语言的功能的论述。这种引述相对于“电影片名的功能”这个论点而言范畴过大,对论点不能起到有力的支撑作用,所以也没有引用的必要。

第二,论证过程中论据之间应互相补充,每一句话都应有新的信息,与前一句共同支撑主题。可是文中的②③句之间明显没有这种关系。第③句的主干部分所表述的信息与第②句重复,而新增加的信息“with brief and vivid language”与主题关系不大。还有第⑦句,虽然没有跑题,但是内容与第一段的第②句基本重复,只不过换了个说法而已,同样没有保留的必要。

删去所有不相关及重复的内容之后,我们最后保留了以下内容:

A good film title is not only the miniature of the film's soul but also a very crucial ornament of the film. The task of the film title is to briefly summarize the content of the film and reveal the theme, arousing the audience's interest and inspiring their rich imagination. A good film title



should not only stick to language norm but also be full of artistic charm in order to attract the audience. The functions of film titles fall into three categories, i.e. the informative function, the vocative function and the aesthetic function.

剩下的问题就是语言的连贯问题，解决这个问题既要注意语义上的连贯，还要注意语言形式上的连贯，经过修改之后的版本为：

Film titles, as the epitome of the film, mainly have three functions, which respectively are the informative function, the vocative function and the aesthetic function. To be more specific, film titles should briefly summarize the content of the film and reveal the theme, arousing the audience's interest and inspiring their rich imagination. A good film title should not only stick to language norm but also be full of artistic charm in order to attract the audience.

经过上述一系列的语序和语言形式上的修改，新的版本相对来讲，逻辑性和连贯性更强，更符合学术论文的特点。

在撰写论文的过程中，不妨掌握一些常见的词汇和语法手段，例如替代与省略，使语言更加通顺流畅。

下面介绍一些过渡词。

举例子：such as, for example, for instance, take...for example / for instance, and so on, so on and so forth, as far as...is concerned, as for...

表强调：particularly, in fact, as a matter of fact, actually, most importantly, chiefly, especially, instead, moreover, the most important, to emphasize, undoubtedly, to be sure, certainly...

表对比或转折：however, on the other hand, whereas, nevertheless, on the contrary, in contrast, though, although...

表次序：first of all, firstly, secondly, thirdly, fourthly, next, last, finally, following, as will be seen, in what follows...

表并列：and, as well as...

除此之外，还有以下一些常用短语和词汇。

表对照：in comparison, by contrast, in relation to, likewise, similarly, correspondingly...

表递进：besides, furthermore, in addition, additionally...

表因果：as a result, consequently, therefore, accordingly, thus, for this reason, in effect, due to, hence...

表推理：otherwise, if not, in that case...

表让步：although, now that, since, considering, still, whereas...

表目的：for this purpose, to this end, in order to, with this goal, in view of this...

表解释：in other words, rather, that is, namely...

表时间：eventually, in the end, since, so far...

表总结：in all, in short, in brief, in conclusion, to sum up, in summary, in the final analysis, to put it in a nutshell, finally...

熟练使用这些过渡词虽然不能保证论文就一定能写得有层次和逻辑，但是至少会使语言看起来更加流畅、连贯、自然。



总之, 语言表达能力对论文的质量起到十分重要的作用。有些学生在撰写论文的过程中, 由于语言表达能力不够, 不得不迁就自己的语言水平, 而放弃内容的深度; 或者完全不顾忌语言准确流畅与否, 生硬地将自己的想法翻译成别人无法读懂的“英文”。这两种做法都是不可取的。写好一篇论文的第一步就是要提高自己的语言表达能力。当然, 规范的论文语言不是一朝一夕习得的, 平时就要加强语言基本功的训练。一方面需要提高词汇、语法知识和遣词造句的能力, 另一方面需要增加篇章结构知识、提高布局谋篇的能力。这些都需要学生在基础阶段强化语言基本功, 尽量扩大词汇量, 不仅要增加词汇的数量, 还要熟知常用词汇或表达的用法及搭配; 掌握并正确运用各种句法结构, 包括学术论文里常用的并列句、复合句等, 注意各种语体的适用场合等。

建议在多阅读的同时, 用英语写读书报告、读书心得、摘要或者进行故事改编等。一方面, 通过写作任务促使自己多读, 提升阅读能力; 另一方面, 在读后的写作中学会表达自己的思想观点, 加强英语语言表达能力, 培养抽象思维和概括能力, 这对高年级完成毕业论文大有裨益, 可以在语言和内容上提高论文的质量。

除了英语写作课之外, 在精读课上也应尽早锻炼写作能力。从标点符号的正确使用到段落的撰写, 要求尽可能多地练习。语言表达的问题绝不是论文写作时才出现的问题, 应意识到“不积跬步, 无以至千里; 不积小流, 无以成江海”, 语言表达能力的培养是日积月累的过程。

## 5.6 结语 ◀◀

论文的正文是论文中最主要也是最核心的部分。可以说, 写好了论文的正文, 论文也就基本完成了。引言、主体和结论这三部分没有主次之分, 每一部分都有各自独特的功能和作用, 所以, 在撰写论文时每一部分都不能掉以轻心。本章通过大量实例, 对这三部分的写法、常见问题和基本句型做了简要的介绍, 并在最后专门用一个章节列举了学生在毕业论文写作中容易出现语言表达问题。文中所列举的错误的或者有问题的例句、段落等都出自于北京工业大学耿丹学院本科毕业生的毕业论文中, 相信类似的错误也同样存在于许多高校学生的论文当中。希望这种真实的语料及其修改建议能够对大家的写作有一定的警示作用和指导意义。

# 第6章



## 英语专业各类论文写作指导

英语专业本科毕业论文的研究方向主要包括英语语言学、英美文学、跨文化交际、英汉翻译、英语教学和商务英语六大类。在本章中，我们将按照以上六个研究方向，从选题类型、常用研究方法和论文写作步骤等方面提供相应的指导性建议，文后还附有学生的毕业论文及教师点评。因论文类型不同，且各方向论文的侧重不同，所以以下各部分的侧重点也有所不同，所选择的毕业论文均是往届学生的毕业论文，保持了其真实面貌，未做任何修改，属学生毕业论文中的中上之作。

### 6.1 英语语言学研究论文 ◀◀

英语语言学方向研究论文指的是利用英语语言学理论对语言进行分析或研究的学术论文。要撰写语言学方向研究论文，是在具备基本的语言学理论知识的基础之上，运用语言研究的基本方法，对语言现象进行分析或分类，在翔实、可靠的事实材料的基础上进行有一定新意的探讨，这种新意可以是新的命题、新的视角、新的材料、新的方法或新的论证。撰写语言学方向的毕业论文，学生需要有较好的理论基础，能够熟练运用已学的理论知识，正确、科学地分析语言中的各种现象。

语言是人类最重要的交际工具，也是思维的工具，语言学是研究语言的科学。语言学的基本任务是研究语言的规律，使人们懂得关于语言的理性知识。语言学涵盖面广，理论性与应用性较强，是英语专业本科生的必修科目。语言学课程主要介绍语言起源及内部各层次；讲授语言在时空中的变异及其与思维、文化、社会、语境、文学等外部因素的关系；讨论语言学与教学的关系和当代语言学中的重要流派。学生通过系统学习语言学的基本理论，在语言实践中学会用科学的方法分析语言事实和语言现象。语言学的研究领域包括语音学、音位学、形态学、句法学、语义学、语用学，以及一些交叉学科，如心理语言学、社会语言学、应用语言学、文体学等。

#### 6.1.1 语言学类论文选题范围

对于本科学生而言，大学阶段可能会必修或选修语言学概论、文体学、词汇学等方面的课程，同时，之前的语言和文化学习也会为学生提供一些感性认知。本章筛选适合的研究领域，对其做简要介绍，以帮助学生确定自己的论文选题。

##### 1. 语音学

语音学是研究言语声音（语音）的学科。广义的语音学既包括发音学（phonetics），

也包括音系学(phonology)。发音学研究具体语音本质以及产生语音的方法;音系学研究音位或语音区别特征在某一种语言中运作的抽象规则和语音的系统。很多学科都从不同的角度来研究语言,如生理学研究语言的发音原理,物理学研究语言的声音传递,心理学关心语言的听觉接受,神经学研究语言在中枢神经系统中的生理基础(叶蜚声,徐通锵:1997)。虽然本科生没有条件对语音进行系统的理论和实验研究,但可以选择从语言的语音语调、节奏、音节、同化、弱化、英美发音差异、英汉语音差异、语音修辞(如押头韵)、拟声等出发,也可以结合文学课程中所学的诗歌,从修辞、韵律、和节奏等方面解释英语诗歌的特点。具体的论文题目可以是:英语语音修辞在诗歌和散文中的文体功能,英语语音象征的语言魅力,英语语音象征的语言魅力或粤方言对英语专业学生英语语音学习的影响。前三个论文选题都可以某一首诗歌、某一位作家的诗歌或者某一篇散文作为分析对象,最后一个则可以以某学院为例进行录音、分析,以及总结。

## 2. 词汇学

词汇学(lexicology)是对某一种语言的词汇起源和意义进行研究的语言学分支。词汇在英语里可以用 vocabulary、lexis 和 lexicon 来表示。词(word)处于词汇学研究的中心地位,词汇学从形式和意义两个方面对词进行分析,既要依靠从形态学获取的信息,又要依靠从语义学获取的信息。英语词汇学研究的是英语词汇的形成、发展、演绎以及词汇的各种意义关系。

在撰写英语词汇学方面毕业论文时,要避免一提到词汇,就想到单个的英语单词,仅仅查阅词典中的英文释义,局限于多义词或用法特殊的单词,那么动笔写作时,离不开词典中的解释和例句,写出的论文毫无新意,仅仅是词典解释的罗列。实际上,学生可以从研究英语词汇的结构、形成、发展、英语词义的特征及关系、英语新词的创造方法,以及现代英语词汇的特点入手,收集材料,总结分析;也可以就某个专业领域出现的新的词汇进行收集、整理、分类、对比,进而总结出这类词汇的特点。以广告英语中所出现的新词为例,学生在日常生活中应收集一定规模英语广告出现的新词实例,如 DocuPrint、Timex、krispy 等,进行归纳,总结其典型特征。英语词汇的词义关系也可以作为选题,如学生可以以上下义关系为出发点,探讨其在英语写作和阅读中的应用,同样不失为一个理论联系实际的好题目。英美词汇的异同、英汉词汇的比较和汉语中的英语外来词等都是英语词汇学方面毕业论文的较好选题,也可以与翻译相结合,选择“英译汉中词类的转换”这类的相关题目,将词汇学与翻译理论及翻译实践相结合。

## 3. 句法学

句法学(syntax)研究语言中的不同成分组成句子的规则,并研究句子结构成分之间的相互关系。该术语来自希腊语,字意是排列。句子由单词组合而成,排列正确的句子被认为是合乎语法的句子,合乎语法的句子是根据一套句法规则构成的。句法是一个由一套数量有限的抽象规则组成的系统。句子的语法性是指句子的合成必须符合操本族语者头脑中的语法知识。任何一种语言的句法规则都包含了说话者的头脑中的语言知识系统(被称为语言能力)。任何语言的句法规则的数量都是有限的,但说话者可以理解和表达的句子数量是无限的。对英语句法学方面的研究,可选择中英语言结构对比分析,如英语和汉语被动句、强调句、省略句等句型的表达方法的差异及特征分析、英汉语序的对比研究、英汉句子结构对比。也可以结合翻译进行研究,如翻译过程中语序的调整,包括定语、状语

的位置和翻译等。可选题目如“谈语序的调整——从《老人与海》译本看英译汉中语序的调整”，还可以选择其他经典作品的经典译文做英汉语序的对比。

#### 4. 语义学

语义学(semantic)的研究对象是自然语言的意义,自然语言可以是词汇、句子、篇章等不同级别的语言单位。但是,各个领域里对语言意义的研究目的是不同的,语言学的语义学研究目的在于找出语义表达的规律性、内在解释、不同语言在语义表达方面的个性以及共性;逻辑学的语义学是对一个逻辑系统的解释,着眼点在于真值条件,不直接涉及自然语言;与计算机科学相关的语义学研究在于机器对自然语言的理解;认知科学对语义学的研究在于人脑对语言单位的意义存储及理解模式。所以,语义学是语言学分支中争议最大的一个学科。名称同为《语义学》的专著可能互相之间完全不同。语言意义的研究往往与社会学、心理学等多门学科相联系。

本科生在选择语义学方面的毕业论文选题时,可重点在词汇与句法的层面上选题,如词义的同义关系、反义关系、上下义关系、同形异义现象、一词多义现象等。或者可以从外在的角度去探讨语义的形成过程,如“英语委婉语语义分析”、“英汉词语文化语义对比研究”、“上下义关系在英语写作中的应用”等。

#### 5. 语用学

语用学(pragmatics)是语言学各分支中一个以语言意义为研究对象的新兴学科领域,是专门研究语言的理解和使用的学问。它研究在特定情景中的特定话语,研究如何通过语境来理解和使用语言。何兆熊(2000)指出,在语用学的各种定义中,有两个概念是十分基本的:一是意义,二是语境。从发展的观点看,语用学的崛起是语义研究的发展和延伸的结果,因此可以说语用学是一种对意义的研究。但语用学所研究的意义不是抽象的、游离于语境之外的意义,而是语言在一定的语境中使用体现出来的具体意义。由此可知,在语用学研究中语境对意义的作用十分重要。

语用学研究范围主要包括以下9个方面的内容:意义和所指、指示、前提、言语行为理论、间接言语行为、合作原则、关联论、会话及礼貌的语用研究和跨文化语用研究。语用学知识可以拓宽学生的语言学视野,帮助英语专业本科生学会用语用学的研究成果为外语学习服务,增强语言运用的得体性,提高他们的语用能力。

撰写语用学方面的毕业论文时,学生应首先了解相关的理论和术语,如合作原则、礼貌原则、关联论、语用失误等,然后根据设定的选题广泛收集语言实例,进行分类、分析和论证。语用学研究方向的选题具有一定的实际意义,如“合作原则在中英广告语中的应用”、“以关联论阐释美剧中的会话幽默”等;也可以将语用学理论与翻译实践或英语学习相结合,可选的题目包括“语境在英语阅读理解中的作用”、“《简·爱》中对话翻译的语用学分析”等。

#### 6. 社会语言学

社会语言学(sociolinguistics)是于20世纪60年代在美国首先兴起的一门交叉学科,它研究社会的各层面对语言运用的影响,包含文化准则、社会规范或情境。社会语言学也研究社会本质和差别对语言的影响,如族群、宗教、地位、性别、教育程度、年龄等,以及如何运用语言的差别来区分一个人在社会阶层中的地位。社会语言学的具体研究范围包括对社会本质和语言之间关系的研究,如语言、意识、社会在起源上的相互关系,民族语

言和民族形成的关系,民族共同语的形成与社会发展的关系,语言演变与社会演变的关系;语言差异的研究,如标准语与方言;行话的差异,发音、用词差异,地位差异,同一语言在不同国家、地区以及社会的使用中所产生的差异,不同的语言使用者在语言运用上的差异,社会场所不同所引起的语言的差异。

在撰写社会语言学方面的毕业论文时,学生需在日常学习中收集相关的语言实例,结合相应的社会语言学理论,选择合适的选题。适合本科生的选题包括“禁忌语或委婉语的文化蕴含”、“男女性别差异在交际中的体现”、“课堂教学中教师的语码转换现象研究”等。受素材收集难度的影响,学生也可以选择文学名著或英美影视剧作为材料来源,如选择《傲慢与偏见》中的男女对话来分析性别差异;选择《卖花女》作为素材,研究语言使用与社会地位的关系;选择《儿子与情人》分析人物语言变体、语码转换对人物内心世界的揭示等。这些选题都有助于学生学会利用社会语言学的知识,深化对于文学作品的理解和英语社会的认知。

## 7. 文体学

文体学(stylistics)是研究文体的学科,又称为风格学、语体学等。“文体”一词,有多种解释。在语言学中,文体指语言风格类型的体式,即由于交际的目的、场合、对象的不同而形成的一些不同风格类型的体裁、样式。胡壮麟(1996)认为,文体学的根本任务应当是揭示文体的实质,寻找进行文体分析的有效方法,探讨各种文体特征的表现形式和交际效果,对具体语篇进行分析(转引自胡壮麟,刘世生,2000)。狭义的文体学,即文学文体学是连接语言学和文学批评的桥梁。它的任务是运用现代语言学的知识对文学作品的语言进行分析和研究,从而帮助读者从语言技巧和思想内容的关系这个角度去更加深入地理解、合理地解释和充分地欣赏作品。语言学是文学欣赏、研究和批评的手段。选择文学文体学范围的选题作为毕业论文题目时,学生应运用文体学的理论和方法,从语音、选词、句法和语篇等多个层面分析、研究文学作品的语言,可选择的题目范围有文学作品中语音的文体功能,双关、拟声的使用,从音韵、词汇、语义等层面分析变异和过分规则化等对诗歌的特点影响,不同句子类型所产生的不同文体风格等。

广义的文体学研究各类文体,包括应用文体、论说文体、新闻文体、文艺或艺术文体、科技文体、商务文体等语篇在词汇、句法和篇章结构方面的特点。文体学强调探索一个语篇的文体风格特征及其效果(胡壮麟,刘世生,2000)。因此,学生可以选择使用文体分析的方法分析研究新闻报道、科技文本、法律文本或商务文本的文体风格;也可以与翻译研究相结合,从文体学的角度研究小说、戏剧、诗歌、散文等各种题材的翻译。曾有毕业生选择了“奥巴马2012年总统竞选胜选演讲的文体分析”作为毕业论文题目,利用了文体学的基本理论,从语音、词汇、句法、修辞、篇章结构等各方面对该演讲进行了详细的分析,从而总结了奥巴马演讲成功的秘诀。

## 8. 语篇分析

语篇分析(Discourse Analysis)是在20世纪60年代发展起来的学科,吸收了语言学、符号学、心理学、人类学、社会学、文学等学科的研究成果。黄国文(2001)指出,语篇分析的研究对象是交际中的语言,涉及语言与语境之间的关系。因此,交际中与语言使用有关的问题都属于语篇分析的内容。语篇分析可以用来描述、理解和解释语言是怎样在社会交际中工作的,可以揭示语言在社会活动中所起的重要作用(黄国文,2006)。语篇分析可以帮助学生学会如何分析书面语篇的衔接手段和连贯机制,了解语篇的形成需要采用

各种不同形式的衔接手段,如同现、复现、照应、省略、替代、连接等,以及不同的语篇模式。

在做语篇分析方面的论文选题时,需要收集和分析具体的英语语篇,如“语篇的衔接手段”,或“英汉翻译中的语法衔接手段对比——以《浮生六记》或其他英文译本为例”;也可以分析商务信函、菜谱、口头语篇与书面语篇的特点等。

## 9. 第二语言习得

第二语言习得(Second Language Acquisition)“是与第一语言习得相对的,它研究学习者在母语习得后怎么学习另一种语言”(Ellis, 1999)。第二语言习得研究是应用语言学的一个分支,属于交叉学科,与语言学、心理学及心理语言学有交叉关系。第二语言习得研究可以分为两条主线。第一条主线是对语言学习者的研究,包括学生的年龄、学习动机、个性、认知特点、学习方法等。研究目标是弄清以上要素对第二语言习得的影响。第二条主线是对语言学习本身的研究,它包括第一语言对第二语言习得的影响,第二语言的输入、处理和输出,语言的习得过程,语言知识的构成等。第二语言习得研究学习者语言系统产生的心理过程和心理机制问题,描写与解释的依据更多地采用实证方法。

第二语言习得方面的毕业论文选题可以基于以上两条主线做出选择,也可以对比英汉两种语言的差异并探讨该差异在英语习得过程中的影响;还可以探讨学习者个体差异,如年龄、智力、动机等对第二语言习得的影响;教学方面可以探讨外语教学过程中如何适应语言习得规律和特征,讨论何种教学法能更好地促进语言习得。这类论文的写作方法可以侧重于分析描写,即通过分析原始语料来描写学习过程所出现的共性问题,然后深入分析并提出建议;或者采用假设—验证的方法,从有关第二语言习得理论的假设出发,运用数据、实例、访谈、问卷等方式来验证假设。撰写论文时,学生可以利用学校的教学环境,结合第二语言习得理论做一些有实际意义的研究,如选题“英语写作中的母语负迁移——以某校某专业学生为例”,对比分析该校学生与其他高校学生在英语写作中的母语负迁移现象,或选题“英语专业学生自主学习调查——以某校某专业学生为例”等,都是具有一定实证研究意义的选题。

### 6.1.2 语言学类论文选题注意事项

本科生语言学方向的论文选题应当注意以下两点。

(1) 要有一定现实意义,所选题目应当对学生的英语学习或对语言的领悟有实用价值。可以运用已有的理论来分析新的材料,如“奥巴马 2012 年胜选演讲的文体分析”,这类选题有助于学生深入理解英语演讲的特点,进而深化学生对语言的领悟和理解。

(2) 课题的可行性,即选题不可以太大,要符合本科生毕业论文的工作量。例如,“语言学知识在英语学习中的作用”、“乔姆斯基语言观的哲学基础”、“合作原则的违背与语用效果”等选题,此类题目太大,可以撰写一本著作,或作为博士论文的选题。这类选题没有明确的研究对象和研究范围,从研究的角度来说,这么模糊的题目是“老虎吃天,无处下口”,会导致在撰写过程中,大部分内容都是在总结前人的研究。这样的论文没有深度,自然也就没有学术价值。

确定毕业论文的选题有三种途径:从指导教师提供的《毕业论文参考选题》中选择;从所学教材中发掘;在阅读文献的过程中发现选题。

指导教师提供的《毕业论文参考选题》一般只规定一个大致的范围,如“男女对话的性别差异”就只提供了一个大致范围。在确定题目之前,学生就需要考虑通过哪些对话来

分析男女的差异,这些对话是从现实生活中观察还是以现有的影视剧或者文学名著中的对话作为语料。同时,也要考虑以什么理论为支撑,来分析其中的性别差异。最终可以将题目确定为“从合作原则的角度分析对话中的性别差异——以《傲慢与偏见》为例”。该选题实现了理论与实际的结合,通过阅读文学作品,学习语用学的合作原则,分析其中对话中的性别差异,学生能够更深入地理解文学作品,学会运用语言学的基本理论来提高对语言的领悟与认知。

也可以在所学的教材中发掘选题。在教师讲授与课外学习过程中,学生可以通过研读教材以及拓展阅读材料,发现自己的兴趣点。例如,在讲解语义学部分的语义关系时,会涉及一词多义、同义关系、反义关系、上下义关系等,然后分别列举一些例子,这似乎没有什么可研究的了。但是,我们在阅读或写作中,经常会发现上下义关系会成为篇章中衔接与连贯的一种方法。因此,我们可以观察阅读和写作中上下义词语的使用,以“上下义关系在英语阅读中(或英语专四写作中)的运用”为选题,收集整理材料,进而分析和总结。这样的选题既能超越教材,难度也不会太高。

学生还可以通过阅读专业文献,如《外语教学与研究》、《外国语》、《现代外语》等相关的语言学期刊来发现选题。例如,学生可能会在《外语教学与研究》2014年第2期中读到《范畴理论视角下的语篇连贯研究》,如果学生对语篇连贯感兴趣,则可以继续阅读该方向的文章、书籍,并结合翻译,以“英汉翻译中的语法衔接手段对比——以《浮生六记》或其他英文译本为例”为选题,完成一篇有实际意义的论文。

### 6.1.3 语言学论文的写作步骤

撰写语言学方向的毕业论文需要三个步骤:收集材料、分析材料、完成毕业论文写作。

收集材料分为文献收集和语料收集。相关文献的查检与收集可以通过查阅《外国语言研究论文索引》和中国知网等进行。最适合学生的方法是选择一篇相关选题的权威文章,查看其所列的参考文献,该论文中所列的书籍和文章基本涵盖了该方向的权威的著作及论文,然后依次阅读,就可以对该选题有深入的了解和把握。语料的收集分为口语和书面语料两部分。口语语料收集有难度,因此大部分语言学研究使用的都是书面语料。收集语料要根据自己的选题在书面材料中摘取。也可以以现有的英文影视剧作为语料来源。例如,要分析英语中的会话含义的形成,就可以选择《生活大爆炸》这类的美国情景喜剧作为语料的来源。

分析材料是指对收集到的材料进行分析、分类和整理。语言学文章的特点在于描写、分析与解释。描写是对某种语言现象进行客观的介绍,然后根据描写做一定的分析,得出一些结论;解释就是指出出现这种语言现象的原因。如果以“从合作原则角度分析《老友记》中会话幽默的产生”为选题,就要对所选的材料予以分类,弄清是违背了合作原则中的哪一条次准则造成了幽默。学生往往对着所收集的实例难以下手,其实就是要求我们根据以类相从的原则,将其划成几大类,然后根据不同的类别进行描写和介绍,再进行相关的分析与讨论。

至于之后的成文以及修改,由指导老师具体指导,不再赘述。

### 6.1.4 语言学的基本研究方法

总体来讲,语言学的研究方法都是采取实证研究的方法,指的是通过实地调查进行的研究。实证研究通过匿名观察、参与观察、现场录音、访谈、问卷等方法获取言语素材,



广泛应用于社会语言学、心理语言学、话语分析、二语习得等各领域（杜学增，2012）。实证研究可以分为定性（qualitative）和定量（quantitative）研究。

定性研究，又称为归纳性、启发性研究（inductive, heuristic），“是一种能够产生假设的研究方法（hypothesis generating approach）”（张廷国，郝树壮，2008：68）。语言学领域中的话语分析、语用研究等常使用这种方法。

定性研究方法由访问、观察、案例研究等多种方法组成，原始资料包括场地笔记、访谈记录、对话、照片、录音和备忘录等，目的在于描述和解释事物、时间、现象并更好地理解所研究问题的方法。

定性研究有如下几条指导性原则。

（1）定性研究所观察的内容由大到小，往往采用综合的方法来描写对象。

（2）做定性研究，研究者应在所采集的原始数据中寻找规律性的东西，同时提出观点或做出结论。

（3）把得出的结论与原有的假设相对照，检验原有假设是否成立，并分析不成立的原因（陈冠英，2002）。

定性研究可用于分析语言素材中所体现的语言使用策略和特点，探索说话人在特定场景中使用特定交际策略的原因。以“英语学习者拒绝言语行为的语用研究”为例，学生倾向于使用间接还是直接的拒绝策略，研究者采用的就是定性研究的方法。

定性研究中使用的观察法、访谈法需要研究者进行长时间、细致的观察，而且研究对象人数相对较少，因此研究所得仅代表少数群体，只有将该成果与其他群体进行比较之后才能扩展其代表性（杜学增，2012）。因此，在语言学研究过程中，研究者经常将定性研究与定量研究结合起来使用。

定量研究是指研究者事先建立假设并确定具有因果关系的各种变量，然后使用某些经过检测的工具对这些变量进行测量和分析，从而验证研究者预定的假设。定量研究主要用观察、实验、调查、统计等方法研究教育现象，对研究的严密性、客观性都提出了严格的要求，以求得到客观事实。

定量研究在语言学研究中起着重要的作用。但是单纯使用定量研究，不去深入分析所发现的问题是没有意义的，必须把定量研究和定性研究结合起来。例如，在论文《对166名大学生英语语篇文体模式定量和定性研究》中，作者对英语专业高年级学生在英语议论文写作中所采取的不同语篇文体模式出现的频率进行了数据统计，结合定性分析的方法确认其分布、特征和部分成因，进而总结了各文体模式中存在的突出问题。

总之，定量与定性研究方法都是教育研究中非常必要和不可缺少的重要方法。语言是一种极其复杂的社会现象，单用定量或定性方法去研究语言现象都只能获得部分信息，不可能穷尽，很难得出全面、准确的结论。在教育科研中，必须将定量与定性研究方法结合使用，才能使教育研究更加科学、可靠与有效。这样，既可以对这两种方法取长补短，又可以对两种方法所得的结果进行比较和验证，从而提高研究结果的可靠性和科学性。

### 6.1.5 结语

本部分主要介绍了语言学各分支的基本内涵，包括了普通语言学和应用语言学的主要研究领域，涵盖了英语专业本科生可以研究的范围。但学生本科期间所学到的语言学理论有限，写出有深度的论文还有一定难度，因此我们建议学生运用语言学中的某个理论，或

理论中的某一部分内容,对具体的语言现象进行分析。在动笔之前,要从亲身感受中去考虑哪些语言现象值得研究,也要从前人的研究成果中汲取养料,寻求适合自己的课题;同时,也要了解语言学论文的特点,阅读相关理论的权威著作和相关论文,做出合适的选题。在写作时,语言要简洁明了,靠材料和数据说话,表述简明扼要,正确运用学术语言,体现论文严谨的学术风格。

### 【论文点评】

## AN ANALYSIS OF THE STYLE AWARENESS IN ENGLISH LEARNERS—COLLOQUAIL TREND IN WRITTEN LANGUAGE AMONG ENGLISH MAJORS IN GENG DAN INSTITUTE

**Abstract:** Scholars both abroad and at home have carried plentiful researches on L2 writing. In China, a lot of researches focused on writing features of English majors, such as writing accuracy, complexity, fluency, format and logic.

However, corpus of these researches mostly comes from excellent language universities and top comprehensive universities which cannot reflect the overall English standard of English majors. Therefore, the suggestions they give are not necessarily suitable for independent institutes. It actually turns out to be a little hard for them in practice.

In this thesis, differences of English majors among mentioned universities are explored. English majors in independent universities do not have clear style awareness and have an apparent colloquial tendency in written English. By discussing this feature, the present thesis tries to find an answer to the question.

**Keywords:** L2 writing; English majors; independent institutes; style awareness

### 1 Introduction

No one could deny EFL writing is a very important evidence of one's foreign language level. It represents how well they can perform language. Therefore, in China, since 1980s, there never lacks scholars who devoted themselves to L2 writing study. In spite of giving an actual picture of the overall standard of Chinese English learning, the main purpose of these studies is to help Chinese learners to have excellent English writing performance.

Researches on L2 writing mainly covers writing text, writing process, writing attitudes of both teachers and students, writing belief, classroom environment and social environment, from which researches on writing text can be frequently seen containing writing accuracy, writing complexity, writing fluency, features of word using, writing logic, writing format etc. However such researches are based on corpus

collected from top language universities or excellent comprehensive universities. Although these studies have made big difference in EFL writing teaching, they still cannot represent the actual English level in China. It is a fact that English majors in universities like Gengdan and other independent institutes have their own characteristics in studying English. Due to College Entrance Exam in China, compared with the English average grades in 211 project universities, grades in independent institutes are approximately 20% lower. Though particular cases considered that some students did not perform well in exam or they are good at subjects other than English, generally speaking, the starting points in universities are different.

According to analysis and feedbacks from lecturers in Applied Language Department in Gengdan Institute, a problem is discovered that writings of students in Gengdan have an apparent colloquial trend. After further study, it is found that an absence of style awareness largely contributes to this phenomenon. That is when this paper comes into being.

### **1.1 The Need of This Study**

This section elaborates on the need for the present study, both theoretically and pedagogically.

#### **1.1.1 The Theoretical Need**

The theoretical need is mainly shown in two aspects. The first aspect concerns the failure to develop a holistic view of L2 writing performance and the second concerns the relationship between L2 writing and style awareness.

On the one hand, previous studies (Wen Qiufang, 2006; Wen Qiufang, Ding Yanren, 2004; Wen Qiufang, 2007; Wen Qiufang, 2010; Xie Yongmei, 2009; Wu Jin, Zou Qin, 2009) do not hold a holistic or comprehensive view of L2 writing performance. Though some of them (Wen Qiufang, 2007; Wen Ding Yanren, 2004; Wen Qiufang, 2010) are said to have addressed the whole picture of L2 writing performance, these studies are mainly conducted in 211 project universities. The number of independent institutes is getting bigger in China, and the English teaching and learning issues there are becoming serious. However, their corpus is nowhere to be found.

On the other hand, students studying in independent institutes are mostly nurtured for jobs after they graduate. Therefore the ability to write in English is the key to fill their position afterwards. Sadly, we find that even students in their last year in university still cannot handle a writing task freely and are uncertain to select the right phrase or sentence structure in most formal writing assignments, let alone practical writing like commercial correspondence. There is an apparent colloquial trend in formal English writing. The texts tend to be casual, informal and oral. An important reason for this problem is that students do not have a clear awareness of style. They don't know that depending on different occasions, different styles should be used,



which means using proper words in a proper place. Understanding the relationship of L2 writing and style will benefit students a lot.

### 1.1.2 Pedagogical Need

L2 teachers and learners need to know to what extent and in which ways stylistics is important to L2 writing.

On the one hand, how important stylistics is to L2 writing is still not fully understood by L2 teachers and learners, especially in independent institutes. It is widely acknowledged that vocabulary is an important aspect of language proficiency. L2 teachers and researchers, aware of the importance of vocabulary learning, are trying to explore ways to promote it effectively. L2 learners generally feel that words are very important and some of them even regard second language acquisition as essentially vocabulary learning. As the importance of vocabulary has always been stressed, why L2 writing quality is still barely satisfactory and why advanced English learner cannot avoid using colloquial words when writing? It needs a system which can serve as a substitute for vocabulary. Stylistics is the system providing corpus of novel, drama, poem, prose, conversation, news report, advertisement, public speaking etc. Whether learning stylistics is the best choice or not will be clarified in this paper.

One the other hand, L2 teachers and learners need to know not only how important stylistics is to L2 writing but also in which ways it is important. This is because being proficient in English is not just a matter of producing correctly spelt words or reading enough books but a matter of managing to communicate effectively both orally and by text form. There is an old saying by T. S. Eliot, *"If we spoke as we write we should find no one to listen; and if we wrote as we speak we should find no one to read."* Therefore, either L2 teachers or learners need to know how to communicate in different occasions. In other words, L2 teachers are required to have a systematic knowledge of L2 writing, with which they can find "specific" writing problems which their students are faced with when they write in L2 and help their students to improve. Similarly, L2 learners need to have a clear idea of how they should utilize their vocabulary and how they should use proper words in different occasions to improve their writing. Based on a good knowledge of stylistics, English learning will become more effective and sufficient.

## 1.2 Outline of the Study

The present study consists of four parts. Part One, which revolves around the background of the study, introduces both the theoretical and pedagogical need of the paper. Part Two consists of literature review and introduction to two of Wen Qiufang's studies. Part Three is to introduce the methodology of data collection in this study. Part Four focuses on the results and discussion, which is composed of four sections. And the last part draws the conclusion.

## 2 Literature Review

### 2.1 Written English and Spoken English

#### 2.1.1 Notion of Typical Speech and Writing

A considerable body of research has dealt with the similarities and differences between speech and writing, but there is little agreement on the salient characteristics of the two modes. There is no linguistic or situational characterization of speech and writing that is true of all spoken and written genres. On the one hand, some spoken genres are quite similar to written genres, such as public speeches and written exposition. On the other hand, some written genres are quite different from one another, such as personal letters and academic exposition, so are some spoken genres such as conversation and public speeches.

It is useful and necessary to propose the notion of typical speech and common type of speech and writing, so that these two perspectives dovetail into one. Both perspectives indicate face-to-face conversation as typical speech and argumentation as typical writing. Writing and speech mentioned in this paper refers to typical speech and typical writing defined here.

#### 2.1.2 Differences between Spoken English and Written English

Spoken English is a big category which may include different things, such as an interview between the boss of a company and a job hunter, a football commentary, a sermon in a church, a lecture in a university, an inaugural speech by the president-elect, a debate over a political issue, or a daily conversation among friends. And such diversity is also found in written English: a letter to a friend, a news report, an advertisement, a poem, a novel, a legal document, etc. All these can be considered as written English. In order to make it easier to compare, this paper restricts the big categories to something typical of each variety. For spoken English, we mainly deal with spontaneous conversation, since it is typical of spoken English and is the most commonly used kind. For written English, we focus on formal writings, since most written English is formal, though there are some informal written forms, such as letters between close friends.

The following is the general stylistic differences between spoken English and written English. In general, spoken English is claimed to be:

**At the lexical level**, in spontaneous conversation, people tend to use:

- a) Simple, Anglo-Saxon, monosyllabic words, such as *get, go, eat, have, do, know*, etc. ;
- b) Phrasal verbs, such as *come on, get along, shut up, pick up, look into*, etc. ;
- c) Idioms and colloquialism, such as *ins and outs, at a loose end, pull one's leg, smell a rat, in the same boat, face the music*, etc. ;
- d) Vague terms, such as *thing, many, nice, stuff, that sort of thing, things, like that, lots of, what-do-you-call-it* etc. ;



- e) Slang, such as *babe*, *chick doll*, *kitten* (for woman);
- f) Jargon, such as *barkers*(for pistols), *centre-bits*(for master keys), *high school horse*(for a horse which often wins a house race when the price is high on him).

In formal writing, people tend to use formal, abstract, or Latinate words and noun phrases. Phrasal verbs, colloquialisms, slang, or jargons are rarely found.

**At the syntactic/grammatical level**, in spontaneous speech, people tend to use:

- a) Simple sentences;
- b) Short sentences;
- c) Loose sentence structures;
- d) Elliptical or incomplete sentences, etc.

In formal writing, people tend to use long, complete sentences; the sentences are usually closely connected; if there are noun phrases, there may be more pre- and post-modifiers; the sentences are usually grammatically right; the organization of sentences is logical.

**At the phonological/graph logical level**, in spontaneous conversation, people tend to make full use of phonological devices, such as stress, intonation, pitch, pause, and tempo to express their feelings; while in writing, people tend to make full use of graphological devices, such as punctuation, capitalization, italics, paragraphing, pictures, tables, charts, etc to convey their messages clearly. Apart from these, people in conversation tend to make full use of paralinguistic devices such as gestures, facial expressions, laughs, and giggles, to help convey their attitudinal meanings; while in writing, people tend to make full use of different types or formats, which give prominence to the information conveyed.

**Semantically**, people tend to be more explicit in writing than in conversation since there is channel limitation in writing, while in conversation there is no channel limitation. In writing, people tend to be more fluent than in conversation, since writing is often well prepared. In spontaneous conversation people do not prepare in advance; therefore, there is normal non-fluency (false starts, unintended repetitions, pauses, hesitations, etc.) in spontaneous conversation. But, when language is put down on paper, such normal non-fluency features should be avoided. Therefore, written language is more fluent.

Lectures, public speeches, and some seminars are presented in oral form but they are usually prepared in written form in advance. In fact, they are not spontaneously spoken. They are “written to be spoken” or “speaking of what is written”. Therefore, they have both the features of spoken language and written language.

## 2.2 Stylistics

### 2.2.1 Definition of Stylistics

To say stylistics studies style does not make this matter clear. We have to define it in a more rational and more scientific way.

*Longman Dictionary of Language Teaching & Applied linguistics* (Richards, et

al., 2000: 452) defines stylistics in the following way:

The study of that variation in language (STYLE) which is dependent on the situation in which the language is used and also on the effect the writer or speaker wishes to create on the reader or hearer. Although Stylistics sometimes includes investigation of spoken language, it usually refers to the study of written language, including literary texts. Stylistics is concerned with the choices that are available to a writer and the reasons why particular forms and expressions are used rather than others.

G. W. Turner (1973: 35) defines stylistics in this way, “Stylistics is that part of linguistics which concentrates on variation in the use of language...Stylistics means the study of style, with a suggestion, from the form of the word, of a scientific or at least a methodical study.”

From these definitions and from our sense of style mentioned above, the definition of stylistics can be summarized as a branch of linguistics which studies style in a scientific and systematic way concerning the manners and linguistic features of different varieties of language at different levels.

### 2.2.2 Scope of Stylistics

The study of modern stylistics can be divided into three main aspects: General Stylistics, Literary Stylistics and Theoretical Stylistics. In this paper we mainly describe General Stylistics, for its importance of appropriateness in writing an English paper.

General Stylistics studies different varieties of language. For example, according to field of discourse, with the related functions of language used in different genres, there are varieties such as news reports, advertisements, public speeches, novels, poetry, scientific treatises, and legal documents. According to attitude (tenor of discourse), there are different degrees of formality used on different occasions, such as formal language and informal language. According to medium of communication (mode of discourse), there are spoken language, written language, and e-discourse. According to social groups, there are standard language and non-standard language, language used by people of different classes, different sexes, and so on. According to time, there are Old English, Middle English, Modern English and Contemporary English.

Broadly speaking, literary stylistics studies characteristics of different literary genres—poetry, prose, novels, drama, etc., with the purpose of promoting literary texts as communicative acts, concentrating on literary significance as well as linguistic choices in literary texts. However, theoretical stylistics studies the theories, the origin, the trend, and the historical development of stylistics as well as characteristics of different branches of stylistics. It also studies the relationship between stylistics and other branches of learning.

### 2.2.3 Procedure of Stylistic Analysis

To learn stylistics, it is very important to know the procedures of stylistics



analysis. Through this study, students will understand what they should pay more attention to while writing.

The procedure of stylistic analysis is often sequenced in three steps: a) linguistic description, b) textual analysis, and c) contextual factors analysis. Here, we will only focus on linguistic description where students make most mistakes.

Linguistic description refers to the exploration and classification of linguistic features of a given text, which is shown by its consistency and relative frequency.

Leech and Short (1981: 20) listed four linguistic and stylistic categories, grammatical categories, figures of speech, and cohesion and context. In this thesis, to be more specific, three categories are chosen: graphology, lexis, and syntax/grammar.

### 2.3 Literature Review

EFL writing has a short yet very important history. The study of language features of advanced English learner starts in Europe, and *Learner English on Computer* is one of the outstanding researches of this study. It analyzed the characteristics of the lexis use (Lonrenz, 1998; Ringbom, 1998), the grammar use (Altenberg & Tapper, 1998) and text paragraphing and layout (Tyson, 1998; Virtanen 1998). In recent years, as more and more learner corpora have been established, more and more applied linguists begin to compare speech and writing produced by native speakers and non-native speakers, and some interesting phenomena were revealed. *Writer/Reader Visibility* is conducted by European scholars Petch Tyson and Canadian scholar Cobb to discuss the frequency of different words in written English. From the researches above, the conclusion is made that there is an apparent colloquial trend in learners' English writing, and they are writing down talks translated from their mother language instead of actually doing a writing task. Not surprisingly, it also exists among Chinese learners (Wen Qiufang, 2003).

It is important for both students and teachers to clearly distinguish the variation between speech and writing which has aroused more and more attention recently. With publication of the pioneer book, *Variation Across Speech and Writing* (Biber, 1988), scholars start to analyze corpus-based data by computer. Not far from that, Biber then published his book, *Longman Grammar of Spoken and Written English*, providing corpus-based comparison between oral and written English. In 2001, *Word Frequencies in Spoken and Written English* by Leech firstly pointed out the different frequency of different word in written English.

Sadly, among so many studies, a lack of style awareness of English learners did not draw too many eyes. For example, *Second Language Development in Writing* (Wolfe-Quintero, Inagaki & Kim, 1998) and *Analyzing Learner Language* (Ellis & Barkhuizen, 2005) systematically describe the language of EFL learners, but do not mention the importance of style awareness and style features of written English and speech. That is to say, for EFL learning, there are so many important parts to study such as grammar and vocabulary, but it does not mean that it is unnecessary to learn



stylistics, especially for advanced learners.

Back in home, four significant studies have been made (Wen Qiufang, 2006; Wen Qiufang, Ding Yanren, 2004; Wen Qiufang, Ding Yanren, Wang Wenyu, 2003; Wen Qiufang, Hujian, 2010). They all verified the existence of a mixed style in EFL learners in China, but still did not stress the importance of style awareness and these studies did not include corpus of English majors from independent institutes whose English learning has its own uniqueness.

Wen Qiufang, a Chinese scholar, has made a series of comparative studies based on Chinese English learner corpora and native corpora, and finds some unique features of Chinese English learners across speech and writing compared with native speakers which is significant to our second language teaching and learning.

**a) An Introduction to *Wen Qiufang's Interlanguage Studies of Speech and Writing Produced by Advanced Chinese English Learners*.**

In this study, through investigating how Chinese college English majors use frequency adverbs in their written and spoken English based on corpus, Wen Qiufang finds English learners tend to overuse or/and underuse some high-frequency adverbs. These adverbs are style sensitive, some of which are speaking oriented, while others writing oriented. The style orientation of these adverbs used by Chinese English learners is quite different from those used by native speakers. This provides evidence that Chinese English learners tend to use features of oral discourse in their written English.

Wen then discovered that, through four years' study, the difference in vocabulary use across speech and writing by the forth-year English majors is closer to that by native speakers through examining two types of corpora the learner corpus and the native corpus, and making comparative study of vocabulary variation across speech and writing by the first-year and the fourth-year English majors in China with those by native speakers in terms of lexical frequency breadth, word variation distribution of parts of speech. The results confirm the hypothesis that the learner's register is a mixed one which does not always display identifiable register feature.

**b) An Introduction to *Wen Qiufang's Chinese English Learner Style Features and Its Development*.**

This study comes from Chapter 7 of Wen's book *Discipline and Features of Chinese College Students' Oral English Development*.

In this chapter, Wen discusses the mixed style existing in Chinese English learners' writing and speaking tasks.

Wen firstly points that there is not a clear line between speech and writing, but they has their own typical style and features. The samples collected in this study are typical writing and speech data which comes from the same group of students in their different years in universities from both America and China. Wen adopts the results from the studies conducted by Biber and Chafe, from which, Wen chooses 7 style



features of speech and 8 of writing to analyze.

Using four ways of calculation system, Wen discovers that those features they choose before the study can represent the typical features of writing and speech. Most importantly, Wen finds that the features that Chinese students possessed in speaking and writing are 14 percent less than native English speaker, which means Chinese students do not have a clear concept of what is writing and what is talking and do not know the difference between writing and speaking.

However, through 4 years' study, students' text writing becomes more formal and though still not satisfactory to teachers but getting closer to native speaker's writing, but their speaking, on the other hand, appears to have serious writing orientation. Wen then conclude that the style awareness of Chinese English learner are very weak.

### 3 Methodology

#### 3.1 Purpose of the Research

As shown in the literature review, the previous research in Chinese college English majors' EFL writing cannot represent the whole English level in China, due to its lack of data from independent institutes. Therefore, in this paper, the author will collect data from the compositions of the English majors in Gengdan Institute, aiming to analyze the colloquial trend among students in independent institutes.

#### 3.2 Data Collection

The research samples in this paper are the typical writing tasks in college. They are 35 essays from middle term examination of sophomores of English majors in Gengdan Institute. To investigate the average situation, the sample consists of essays of English majors in different English levels in this grade.

The writing requirements of the essay:

- 1) Discuss "*Should we help strangers?*"
- 2) No less than 250 words.
- 3) Given that this task is accomplished in exam, the time limit is less than 30 minutes.

One research result is borrowed from Wen Qiufang's study of Chinese English learners' style features and its development, and corpora of native speakers are 15 writing samples from Louvain Corpus of Native English Essay.

#### 3.3 Data Analysis

This procedure is divided into three steps:

- a. Transcript and proof. The samples are firstly collected by camera which makes it difficult to analyze by computer. Therefore, first step is to transcript them into computer.
- b. Corpora cleaning, deleting repeat and self-corrected text, and other unnecessary parts.

c. Number texts from 1 to 35.

Due to the unskilled use of analysis tools—Vocab Profilers 9, only easy and simple analysis can be made. Other case studies will serve as supplement for this study.

## 4 Results and Discussion

### 4.1 Word Frequency List Based on Essays from Gengdan Institute

General analysis table

RANK	WORD	INDIVID%	CUMULATIVE%	FREQ.
1	TO	5.6	5.62	380
2	THE	3.11	8.73	210
3	WE	2.96	11.69	200
4	HELP	2.37	16.57	160
5	AND	2.07	20.86	140
6	IT	1.78	24.56	130
7	OUR	1.63	29.60	120
8	I	1.92	22.78	100
9	OTHERS	1.48	31.08	110
10	PEOPLE	1.64	45.70	100
11	THINK	1.33	35.22	90
12	MAKE	0.74	54.15	70
13	BUT	1.64	454.70	50
14	BECAUSE	0.44	61.53	38
15	SO	0.30	67.11	30

Note: Considering this is a topic-set writing practice, some words which are frequently used in samples are deleted here, such as *helping*, *strangers*, *nowadays*, *virtue* etc.

From the charts above, it is clear that students tend to use oral oriented words like *I*, *think*, to express their ideas. And simple words are their favorite choice. Most importantly, influenced by Chinese culture, they tend to select vague words like *us*, *we*, *our*, *society*, *we should*, etc. It is also noticed that the use of conjunctions and adverbs are not complex at all. Mostly when needed, rather than words or phrases like *however*, *on the other hand*, *what is more*, they use *and* and *but* instead.

## 4.2 Comparison between Wen's Study Results and Results of This Paper

	Wen's	Gengdan's		
	Class 1	35 essays	Brown	BNC word spoken
First-person pronoun singular	353.5	424.4	72.9	289.4
First-person pronoun plural	17.5	87.6	46.2	106.0
Second-person pronoun	5.2	58.9	42.2	252.4
Total 1	376.2	570.9	161.3	647.8
References to situation of writing/ reading	31.5	21.9	19.4	40.2
Emphatic particles ( <i>here, really, just, now</i> etc.)	40.2	30.3	10.2	49.0
Fuzziness words (sort of, kind of)	15.7	51.1	3.0	13.1
Total 2	87.4	573	32.9	102.3
Reader/writer visibility	463.6	628.2	194.3	750.2

This is a comparison of writer/reader visibility from three different corpora. Browns' corpora, English majors' essays selected by Wen Qiufang and essays of students in Gengdan Institute.

From the table above, it is manifested that English majors in China tend to use first and second pronoun frequently which is 5 to 6 times of the frequency of native speaker. Moreover it is 1 to 2 times of the usage in spoken English. The alarming rate indicates that there is a serious colloquial trend in written English. What is more, compared with English majors from Wen Qiufang's study, the trend is more obvious and serious in English majors in our institute.

To specifically analyze to what extent this trend is in our university, the study of contrastive links are made below.

## 4.3 Comparison of the Use Contrastive Links

Stylistic differentiation of contrastive links occurring in speech (LLC) and writing (LOB) of native corpora.

Links	LLC	LOB	DIFF.COEFF.	BLAS
Anyway	56	0	+0.5	Specific to speech
Though(conjunct)	13	1	+0.37	
(But)then	11	1	+0.37	
After all	17	8	+0.00	Promoted in speech
But	843	442	/	
Whereas	14	8	+0.10	
Even if	12	12	0.19	Style-neutral
In any case	5	5	0.22	
Still	15	18	-0.33	
Nevertheless	9	12	-0.35	
Instead	4	6	-0.38	Promoted in writing
On the other hand	12	22	-0.43	

续表

Links	LLC	LOB	DIFF.COEFF.	BLAS
At any rate	4	9	-0.76	
Although	20	49	-0.85	
Yes	13	38	-0.87	
While	4	34	-1.00	Specific to writing
However	4	72	-1.00	

Through comparing frequency of contrastive links, we can easily find out the stylistic differentiation of these contrastive links. Links such as *anyway*, *though(but)*, *then* are specific to speech, and some links such as *after all*, *but*, *whereas* are promoted in speech, while some links like *on the other hand*, *though (subordinator)*, *at any rate*, *although*, *yet* are promoted in writing, some links like *while* and *however* are specific to writing. At the same time, some links such as *even if*, *in any case*, *still*, *nevertheless*, *instead* are style-neutral.

Stylistic differentiation of these expressions in Chinese learner corpus can be shown in a similar way.

Links	SECCL	WECCL	DIFF.COEFF.	BLAS
Anyway	15	5	+0.5	Specific to speech
but	1302	598	+0.37	Promoted in speech
Even if	5	12	+0.37	
At any rate	0	0	+0.36	Style-neutral
In any case	0	1	+0.31	
But(then)	165	134	+0.27	
Still	143	97	0.00	
Although	30	47	0.00	Promoted in writing
After all	8	16	-0.09	
On the other hand	13	27	-0.14	
Yet	5	11	-0.20	
Though	20	51	-0.29	Specific to writing
Instead	6	44	-0.38	
While	9	115	-0.43	
However	10	146	-0.49	
Nevertheless	0	4	-0.79	
Whereas	0	4	-0.90	

Judging from the difference co-efficiency, we can discover the stylistic differentiation of these contrastive links. Only *anyway* is specific to speech, and *but*, *even if* are promoted in writing, and *instead*, *while* *however*, *nevertheless* and *whereas* are specific to writing. Links such as *at any rate*, *in any case*, *then*, and *still* are style-neutral.

Comparing these two tables above, we can see clearly that stylistic differen-

tiation of some contrastive links in learners' English is quite different from that in native speakers' English.

Specifically speaking, *though* is specific to speech in native corpus, while style neutral in Chinese learner corpus. *Then* is specific to speech for native speakers, and is promoted to speech for Chinese college English majors. *After all* is promoted in speech in native corpus, while promoted in writing in Chinese learner corpus. *Whereas* is promoted in speech for native speakers, but promoted to writing for most Chinese learners. *Even if* is style neutral in native corpus, however, it is promoted to writing in Chinese learner corpus. *Instead* is style neutral in native corpus, and specific to writing in Chinese learner corpus.

The comparison of frequency of these contrastive links in native corpus and that in Chinese learner corpus will further reveal that advanced Chinese English learners use these contrastive links in their writing inappropriately in style orientation.

Here is the table of comparison of frequency of contrastive expression in written corpus of Chinese English learners and native speakers.

Links	WECCL	LOB	DIFF.COEFF	BLAS
But	5979	4420	1559	11 words over used in Chinese learner corpus 571 words per million words
Then	1337	10	1327	
While	1145	340	815	
Still	966	180	786	
However	1460	720	740	
Though	506	10	496	
Instead	443	60	382	
After all	158	80	78	
On the other hand	274	220	54	
Anyway	48	0	48	
Even if	124	120	4	No great difference
Although	466	490	-24	
In any case	9	50	-41	5 words underused in Chinese learner corpus 104 words per million words
Whereas	36	80	-44	
Nevertheless	41	120	-79	
At any rate	4	90	-86	
Yet	110	380	-270	

This table demonstrates that eleven contrastive links are overused by advanced Chinese English learners in their writing, such as *but*, *then*, *while*, *still*, *however*, *though*, *instead*, *after all*, *on the other hand*, *anyway*, approximately 571 such words per million. Among these eleven words overused by Chinese learners in writing, only two (*while*, *however*) of them are specific to writing and one (*on the other hand*) is promoted to writing, while among the others five (*but*, *then*, *though*, *after all*, *anyway*) are specific or promoted in speech, and two (*still*, *instead*) neutral in style.

Chinese learners at same time underuse five links in their writing like *at any rate*, *in any case*, *nevertheless*, *whereas* and *yet*, about 104 words less per million words, compared with native speakers. Among these five words, only two (*in any case*, *nevertheless*) are neutral in style, according to native speaker corpus. This fact provides evidence that there exists speaking features in Chinese learners' writing.

To sum up, it is reasonable to conclude that Chinese English learners do not have good understanding or accurate grasp of the stylistic differentiation of these contrastive links. We have only studied one aspect, and if we explore more we will find more evidence for that. Advanced Chinese learners do not seem to be sensitive to the style orientation of contrastive links, and the style orientation of them in their English is of great difference from that in native speakers' English. It can be inferred that Chinese college English majors do not master the register orientation of these contrastive links and use them in their speaking and writing in an inappropriate manner.

#### 4.4 Case Study

Three of the 35 essays are chosen based on their quality, that is, No.5, No.19 and No.31. These three essays are from three different students of different levels.

To analyze randomly chosen samples, principles mentioned before are applied here. It is found that there is an apparent colloquial trend in essays of English majors in Gengdan, which manifests itself in the following aspects.

a) Students tend to use *I think...*, *it is just that...*, *I just want to say that...*, when they express their own opinion.

b) Mostly, students like to use simple verbs and phrasal verbs such as *make up* which is not allowed when writing a paper.

c) Words like *can't*, *couldn't*, *shouldn't*, *I'm*, *what's more*, *we're*, *won't* can be seen in many places in these essays while, apart from in novel, contracted form is forbidden in written English.

d) Passive voice cannot be found.

e) Reading these passages is more like reading something translated from Chinese. Many of them do not obey grammar rules of English. 95% of the students choose to use "*not only...but also...*" when they want to introduce two good sides of one matter. "*Not only...but also...*" is a phrase that can find its equivalent in Chinese. That is why it is often used in written and spoken English.

f) Even though the essays are chosen from English majors in their second year in university, third person singular still cannot be used in the right way.

g) Lack of complexity. When stressing one point for many times, students can only choose one way to express it. For example, *people who need help* is expressed only as *people in need*.

h) Use of noun. When writing, students always use *we*, *I* and *you* as subject of a sentence while for native speakers, only when expressing one's own idea can personal



pronoun be used. Native speakers would be more likely to use verbal noun as subject, which makes writing, especially academic writing, more objective and professional.

i) Use of adverbs. Students consider “so” as adverb which has a close relationship with their Chinese proficiency. Therefore they tend to use it frequently whenever they want to introduce a result or consequences of one matter. However, adverbs like *therefore*, *as a result*, *however*—which are frequently used by native speakers—cannot be seen. The same situation also can be seen in the use of *but*, when normally the word “*however*” is the first choice.

j) Length of word. Most of words students employed are fewer than 7 characters.

k) Length of sentence. Students tend to use simple and short sentence without proper links in between. Complex sentences can only be seen when “when” is used.

l) Sample 5 gains the best score among the three samples. Though well used words are impressive, it is still bookish, and similar to the compositions of most Chinese students.

## 5 Conclusion

### 5.1 Conclusion on Writing Features of English Majors in Gengdan

Taking all researches mentioned above into consideration, it is discovered that the difference of lexical variation between Chinese advanced English learners’ writing and native speakers’ writing is much greater than the difference between Chinese advanced English learners’ writing and native speaker’s speech. It reveals that the Chinese advanced English learners’ writing is much closer to the native speakers’ speech than to the native speakers’ writing.

Compared with some compositions from Wen’s study, writing tasks completed in Gengdan have its own uniqueness in a discouraging way. Despite the apparent colloquial trend in written English, it is manifested that students do not have a skilled grasp of grammar and vocabulary, which indicates that adequate reading and writing practice do not gain enough attention while learning. Both essay analysis and teachers’ feedback show that students acquire a bigger colloquial trend in written English than the written trend in speaking English.

Chinese learners, while writing, employed many spoken language features that American native speakers employed, especially with regard to first and second person pronouns. Through comparison of the use of contrastive links, it clearly shows an apparent colloquial trend in written English. Specifically speaking, they sometimes overuse some adverbs but at the same time, they underuse many adverbs. Through comparing the use of these adverbs in Chinese English learners’ speech and writing, it is found that the fact of overuse and underuse is more obvious in writing. From both results, a conclusion can be drawn that students are not sensitive to style.

Through the study of word frequency, writer/ reader visibility, adverbs with style sensitivity, case study and the comparison of different grade style trend, it is found that,



through years of study, English majors in Gengdan have acquired some features of variation across speech and writing, however, these features in English produced by them are not as distinctive as those in English produced by native speakers. Speech produced by Chinese advanced English learners, mixed with some writing features, is not the same as that produced by native speakers. Such is also the case with their writing, also with some speech features in it. Language produced by us seems to be a special language with missed features of speech and writing.

There are several reasons for such phenomenon listed below.

Firstly, as a student in Gengdan myself, I observed that students in our school would rather watch American sitcoms in dormitory for hours than read in the library for a while. It is no doubt that watching English movie and talk show is an efficient way to learn English. However, if it cannot proceed with enough qualitative reading and writing practice, after a certain time of learning, such English majors will not meet the requirements for qualified English majors. They cannot comprehend serious writing materials such as newspaper, academic findings etc., and most importantly, they will not be able to do academic writing, to communicate via email with clients after they work and moreover, deliver a speech in public.

Secondly, they do not have the concept of stylistics. After two years' study in college, most students have gained a comparatively large amount of vocabulary and have mastered some complex words while writing if given enough time. However, they are unaware of using different words in different situations, which may cause trouble and unnecessary frictions while communicating with other people by selecting inappropriate and sometimes wrong words.

Thirdly, teachers usually ask learners to do more practice without appropriate emphasis, just telling them practice makes perfect. The evidence presented here suggests that advanced learners are not defective native speakers just making random errors, but learners working through identifiable acquisition sequences. The sequences involve more than areas of lexical expansion, genre diversification, and other factors yet to be identified. That these sequences, systematic and more or less universal, will be shown by more studies on that. These studies will provide more useful suggestions for improvement of second language teaching and learning.

Last but not least, it is undeniable that students in Gengdan are at a comparatively low starting point than those in top universities. Most of the students do not have a solid foundation of English. That is why there are many simple mistakes which should have been avoided in a college student's writing.

## 5.2 Suggestion

To help English majors in our university master English writing effectively and efficiently, and hopefully to give guidance to our dearest teachers in their teaching, from a student's perspective, here are some suggestions:

a) It is a very important work for teachers to tell their students what English



majors are, what is the meaning of being an English major and how they need to work hard to realize it.

b) Help students to lay a solid English foundation in the first two years by intensive reading tasks.

c) Devote some time during class to developing sensitivity to features of different styles such as personal pronouns (first and second person nominative, accusative and possessive), fuzzy words(kind of, sort of, and so one, etc.), contracted forms (I'm, I've, I'd, I'll, we're, we've, we'd, we'll, n't, etc.) verbs, adjectives, adverbs, small words and conjunctions.

d) In the third year, a course on stylistics to cover a variety of genres should be promoted. If necessary, it can replace intensive reading to help students build a frame of different styles, and meanwhile the purpose of intensive reading class is also achieved.

e) Teachers should constantly remind students that English study does not mean taking learning as an excuse to spend a large amount of time watching English movies. As English majors, what can finally benefit the students is to sit in the library reading English books and to complete the assignments of the teachers.

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### 【评析】

本文通过对独立学院英语专业学生与其他院校英语专业学生写作特点的比较, 得出独立学院英语专业学生文体意识弱, 尤其体现在书面表达中的口语化现象突出。文章通过分析该现象产生的原因, 提出解决问题的方法, 对英语专业学生学习和教师教学提出了建议。该论文以独立学院英语专业学生为研究对象, 体现了学生的原创性。本论文也证明虽然语言学理论比较高深, 但只要找到好的切入点, 语言学理论同样能够为学生所用, 达到提高学生语言认知水平的目的。

本文结构合理, 层次分明。论文的第一部分即前言部分清晰地介绍了论文选题在理论和实践方面的重要性和文章结构。第二部分介绍了口语和书面语的区别, 以及国内在书面语口语化倾向方面的权威研究。第三部分主要介绍文章的研究目的、数据收集和分析的方法。第四部分主要对比了作者所收集的数据与国内权威研究——文秋芳教授所做研究的数据对比, 作者从代词、小品词、副词、模糊词、衔接手段、词长、句长等各方面对比了独立学院与国内高水平院校学生的差异。第五部分得出结论, 与其他院校学生相比, 独立学院学生在写作过程中不仅有明显的口语化倾向, 在语法与词汇的掌握上有很大欠缺, 这表明学生没有进行足够的阅读和写作练习, 并从四个角度分析了造成该现象的原因。最后, 作者从五个方面提出了建议: 认清英语专业的意义, 通过强化阅读打好基础, 加强学生的文体意识, 开设文体学课程, 阅读应重于英美影视剧。论文所得结论看似幼稚, 但反映了独立学院英语专业学生在学习过程中的娱乐化倾向, 提出的建议具有针对性。

本篇论文立意新颖, 主题鲜明, 论述全面, 选题具有实际意义。能够运用图表进行统计、分析、对比并量化结果, 运用了实证研究中的定量分析法, 是本文的一大亮点。论文中语言使用恰当, 选词合理、句式丰富, 展示了作者较好的语言功底。虽部分章节稍显啰唆, 图表写作不够规范, 如缺少标题、序号、注释说明不够完善等, 但整体上颇具实用价值, 不失为一篇优秀之作。

## 6.2 英语文学研究论文 ◀◀◀

在本科四年的英语专业学习期间, 许多学生都会对文学产生浓厚的兴趣, 并试图在毕业时写一篇文学研究论文。写文学研究论文, 始终绕不开一个基本问题: 文学是什么? 这

确是个很难回答的问题。古今中外,思想家和文学家们给出了不计其数的答案。若考据一番,在中国,“文学”一词最早出现于《论语》,如“文学,子游、子夏”。在此,“文学”指“文章博学”。在西方,“literature”一词最早出现在14世纪,泛指一切语言作品。“文学”一词演化至今,我们对此形成的共识是:文学是以语言文字为工具形象化地反映客观现实的艺术,包括戏剧、诗歌、小说、散文等,是文化的重要表现形式,表现内心情感和再现一定时期和一定地域的社会生活、文化。很多同学可能对《红楼梦》、《傲慢与偏见》、《红与黑》、《飘》等经典文学著作爱不释手,但却很少思考有关文学的问题。例如:文学是什么?文学和生活有什么关系?文学和社会发展有什么关系?经典文学作品为什么会给人美的感受?文学作品的语言和结构有什么特点?文学与道德是否有关系?等等。当同学们对这些问题产生兴趣,并试图写文章进行论证阐释解答时,那便是开始做文学研究了。下面按文学研究论文的写作步骤从三个方面来探讨文学研究论文的写作问题:文本阅读、英语专业文学研究选题、文学研究写作方法。

### 6.2.1 文本阅读

当你对某一部文学作品(假定是小说)产生兴趣并决定就作品的某一方面进行毕业论文写作时,在提笔写之前,阅读是件头等重要的事。读什么?作者的建议是:

第一,读原著。读几遍?只能说多多益善。读完第一遍,你会对整个文本有个大致的印象,人物有哪些?情节故事梗概是什么?对文本的思想把握如何?语言风格怎样?哪个人物、哪个事件、哪个句子或段落给你留下了深刻的印象?一般来说,读完第一遍,你只能对你是否喜欢这部作品做个基本的情感判断。对于文本中人物之间的复杂关系究竟是什么,传达了作者的什么思想,为何如此谋篇,你对作者的思想如何理解、如何评判,那就得读第二遍、第三遍,甚至更多遍。在读第二遍、第三遍时,既然是带着写论文的目的,就得读得更慢、更仔细,得细细琢磨思考作家的用词用句,而且得带着具体目的,比如寻找需要佐证某一观点的例子。这些词句表达了作者什么样的态度,什么样的思想,而文本的上下文是如何衔接的,人物是如何刻画的,作者想达到什么目的,这些则称为文本分析。这种细致的解读,即从头至尾、逐字逐句地解释一篇小说、一个剧本或一首诗的方法,是我们在写论文前阅读的基本方法。

第二,读作者。这是指好好研究一下作者本人,如作者的生平、主要作品、生活时代、写作背景等,有时很有必要对该作家的其他作品也大致读一下,这会对研究的作品产生新的灵感和新的理解。

第三,读评论。既然这是阅读的第三步,那么在没做完前两步前,千万别做第三步。先读评论再读原著只会把你的思想固化,产生新的想法便很难了。比如在读《红楼梦》之前,所有的人都告诉你这是一本以宝黛婚姻悲剧来批判封建主义的小说,那么在阅读时又能如何跳出以“封建主义眼光”看待这本小说的窠臼呢?而在读莫泊桑的短篇小说前,书本的序言告诉你他是批判资本主义的能手,那么你在读小说时又能如何摆脱“资本主义”的阴影呢?要写一篇有思想、有新意的文学研究论文,在读他人评论前需给自己多提几个问题,多思考、多做笔记是很有必要的。思考过后,读一些名家的评论性文章,会帮助你理解小说,升华小说主题。而在你读这些评论时,正好也做了文献综述的工作,大致了解了国内外对这部作品已经做了什么研究,而你还可以从哪些角度深入研究。

### 6.2.2 英语专业文学研究选题

作为英语专业学生,文学研究的侧重点可能在英国文学和美国文学上,也可对中英文学、中美文学做比较研究。在文学发展的几千年历史长河中,各类文学作品层出不穷,如浩瀚星空。我们该研究哪一时期的作品,哪个作家的作品?须知,仅在1995年,便有8000部英国小说问世。这8000部小说中的每一部都有研究价值吗?实际上,这近万部小说,很可能大部分是经不起时间考验的,甚至可以说,即便几个1995年的小说产量加起来,又能有几部能够像曹雪芹的《红楼梦》、莎士比亚(William Shakespeare)的《哈姆雷特》或乔伊斯(James Joyce)的《尤利西斯》那样流芳千古(Bradbury, 2005: 4)?既然如此,文学研究应当立足于英美文学史上有重要影响力和重大贡献的作家作品,侧重于文学史上有定论的作家,而少选或不选没有经过时间考验或已经被淘汰的当代流行作家。例如,我们宁愿研究17世纪英国诗人约翰·弥尔顿(John Milton)和20世纪美国著名诗人T.S.艾略特(T.S.Eliot),而不愿把时间精力浪费在当代英美畅销书的作者身上。这两位诗人在诗歌创作上都有杰出贡献。弥尔顿以清教徒的高度资产阶级革命热情总结了西方的历史和文化,综合了希腊和希伯来两种文化传统,为17世纪资产阶级革命的英国创造出新的精神文明。弥尔顿本人的文章学问和道德修养都堪为师表,但对他的重要作品《失乐园》,我国鲜有分量的论文和专著。而艾略特的作品对20世纪乃至今日的文学史影响极为深远。1922年出版的《荒原》被评论界看成20世纪最有影响力的一部诗作,是英美现代诗歌的里程碑。然而同样,对其作品时至今日,我国有分量的论文和专著甚少。因此,研究这样的大诗人大学者对学生和广大读者都有巨大的认识价值和教育作用,也可以在一定程度上填补这一领域的研究空白。

诗歌、小说、戏剧是文学的几种最基本、研究最多的文学形式。下面作者将从诗歌、小说和戏剧的角度逐一论述文学研究论文的选题。

#### 1. 诗歌

诗歌是最古老的艺术形式之一,也可被看成最民主的艺术,因为贵至皇宫贵族,贱至囚徒乞丐,一生中至少有过一次沉吟诗歌的冲动吧。对“诗”该如何定义?我们会赞叹《尤利西斯》是本“诗意”的小说,也曾在“诗意”的风景中流连,因此与其说“诗”是一种形式,还不如说“诗”是一种特殊的品质和状态。(邵锦娣, 2003: 343)诗歌的语言很特别,经常一句话就是一行,有时一个词或一个短语就是一行,明显不同于小说和戏剧的语言。与日常生活中语言用来传达信息的功用不同,诗歌的语言传达的是一种对事物的体验。比如同样,对“老虎”做出解释,辞典上会解释老虎“是一种大型食肉猫科动物……”,而在诗人威廉·布莱克(William Blake)的诗《老虎》中,对老虎的描摹如下:

虎,虎,于黑夜的森林中  
明亮如火团锦簇  
是怎样的天工或神目  
造就你惊人的雄姿?  
在多远深渊或穹苍点燃  
你双眼的烈焰?  
他挥动的是怎样的羽翼?  
捕捉火舌的是怎样的手指?

……(邵锦娣, 2003: 344)

由此可见, 辞典上对老虎的解释旨在传达信息, 给予一般常识性的知识, 而诗歌《老虎》传达给读者的是老虎的气质精神。此外, 我们也可看出诗歌是一种多维度的语言, 诗歌语言同时具有知识的、情感的、感官的和想象的维度。简言之, 诗歌是一种以最紧凑的语言来表达体验的文学形式。

研究诗歌, 首先, 我们可从诗歌的基本构成要素(诗歌的韵、律、声调、意象和主题)入手。然后, 研究诗歌的修辞手法, 如明喻、隐喻、拟人、象征、矛盾、歧义、拟声等。也可以综合以上要素对不同诗人的诗歌进行比较研究。

于是, 根据个人兴趣, 我们可以做出如下选题: 《罗伯特·布朗宁诗歌中的意象研究》、《沃尔特·惠特曼〈歌唱自己〉主题探索》、《纳什〈海鸥〉中拟人手法效用初探》、《庞德诗歌中的象征主义研究》、《17世纪玄学派诗歌中奇喻的哲理》、《从〈当你老了〉看叶芝诗歌的浪漫主义格调》等。

## 2. 小说

小说作为文学体裁的一种, 对于大家来说并不陌生。它以刻画人物形象为中心, 通过故事情节和环境描写来反映人物性格和社会生活。按照篇幅及容量可分为长篇、中篇、短篇和微型小说。按照表现的主题可分为传奇小说、哥特式小说、成长小说、爱情小说、心理小说、社会性小说、乡土小说等。按照写作背景和技巧可分为历史小说、纪实小说、书信体小说、自传体小说等。

研究小说可从研究小说的六个要素(故事、人物、情节、主题、环境和叙述人称)入手。小说中可供选择的论题很多, 总的来说, 在进行第二遍、第三遍文本阅读时, 需边读边思考以下问题: 小说主题与外在现实的关系; 小说语言的内在特征; 小说主题与社会历史的关系以及其与伦理道德的关系。这些问题试图以外部某个参照物来说明文学的本质, 或者从文学语言的内部机制来探讨文学的本质。这些问题基本可分为两大类。第一类是从语言学视角出发, 细致分析文学作品的内在修辞、文体风格、结构技巧和主题意义。有关这一类的选题, 提出的大多是关于创作技巧、作品意义、作者的个人情感与创作关系的问题, 如《有组织的混乱, 制度化了的疯狂——透视〈第二十二条军规〉的写作手法》、《对小说〈蝇王〉艺术特色的研究》、《〈呼啸山庄〉中哥特主题的应用》、《〈伟大的盖茨比〉中的叙述技巧》等。第二类是运用历史学、社会学、心理学、哲学等理论, 研究作品与现实、心理、文化和政治等外部因素的关系, 提出的问题是关于文学再现性、主体性, 文学的作用, 文学与社会历史的关系, 文学与道德伦理的关系等, 如《〈伟大的盖茨比〉中美国梦的幻灭》、《论〈双城记〉中狄更斯的人道主义》、《论〈伟大的盖茨比〉中的道德观》、《论莎士比亚〈麦克白〉的心理刻画》、《论〈辛白林〉中伊慕琴的新女性形象》等。

## 3. 戏剧

戏剧是一种综合的舞台艺术, 它借助语言、音乐、舞蹈、美术等艺术手段塑造舞台艺术形象, 揭示社会矛盾, 反映社会生活。“戏剧(Drama)”一词源自古希腊“Dran”一词, 意为“事情做完”、“行动”或“事件”。(邵锦娣, 2003: 382)完整的故事情节、语言和演员表演是戏剧必不可少的三要素。戏剧小说相似的地方在于都有故事情节和人物, 不同在于戏剧里的语言多是对话的方式, 并且情节的展开比小说更迅速更剧烈。

研究戏剧,可从研究戏剧的上述三要素入手,分析剧本的情节,比如开场、引起冲突的事件、故事的发展、高潮和结局。戏剧研究可以分析挖掘情节的特殊技巧,如悬疑设置、预兆、闪回、出人意料的结局等,也可探讨舞台设置如何创造特定情绪,如何作用于戏剧中的人物行动。此外,还可以对戏剧中的人物进行评论,或选择一个主要的人物来讨论剧作家是如何揭露人物的内心世界的。如果剧中的人物性格在情节发展过程中有变化,那我们也可以思考探讨性格发生变化的原因等。

基于个人的不同关注点,我们可以做出如下选题:《浅析哈姆雷特的踌躇》、《〈推销员之死〉中的“美国梦”》、《〈推销员之死〉悲剧因素分析》、《论莎士比亚〈麦克白〉的心理刻画》、《论〈辛白林〉中伊慕琴的新女性形象》等。

### 6.2.3 文学研究写作方法

构思和提纲完成后,接下来便要动笔写了。为了更好地理解文学作品,更有力地阐述论证自己的观点,需要在写作时应用一些文学理论知识和文学批评的方法。文学主要有小说、诗歌、戏剧和散文这几种形式。它们各自都有其特点。撰写一篇文学研究的毕业论文,就是详细地说明作者对该作品的理解,而作者的理解又主要表现在论文的论点上。在熟悉理解作品本身之后,如何以一种容易使人接受的方式把我们的理解和思想表达出来呢?在写作时,可主要采用解读分析法和比较分析法这两种基本方法。

(1) 解读分析法。解读,是从头至尾、逐字逐句地研读,并逐字逐句地解释一句话、一个段落甚至一整篇故事、一个剧本或一首诗歌的方法。解读分析法不仅是阅读文学作品的基本方法,也是阐明作品意思的基本方法。在实际论文写作中,用这种方法来逐字逐句地解读分析整个长篇小说,是有些不切实际的。一篇本科论文的篇幅肯定不会允许你去精细地解读整篇小说中的每个词语和每个句子,我们要做出细致分析解读的是重要词句和段落,即容易受误解的词句段落,和论文主题相关有重要意义的词句段落,以及具有象征比喻等体现作者语言风格和思想的词句段落等。这种逐字逐句的细致解读法常用于诗歌研究,因为一般来说,诗歌篇幅短,若想充分理解诗歌的各种成分,只有通过文本细读,逐词逐行地去读一首诗,理解它的每个细节,包括词的字面含义、内在意义、语言意象、意象的比喻和象征意义,以及押韵格式与韵脚的效果后,才能更好地理解一首诗的主题和作者要表达的思想。解读一首诗的目的,就是通过研读理解各成分之间的关系,从而理解各种成分如何发挥作用共同表达什么意思和达到什么效果。而研究戏剧的论文,也必须先研读,包括对话、场景描述和舞台指导等各种戏剧要素。

(2) 比较分析法。比较分析法在文学研究和批评中使用得相当广泛。我们可以比较分析同一作家的不同作品,也可以比较分析不同作家的作品,比较分析两者的写作技巧、两者的主题等。但是,一定要注意一个“可比性”的问题:一是拿来比较的两个作品必须是同类的;二是把问题提到一定范围内,也就是提出一个特定的标准,使不同类的现象之间具有可比性,从而进行比较。那么如何发现比较对象的可比性呢?有两点需要注意:一是相似与相异应列入可比性范围;二是影响和关系是寻求可比性的主要目标和进行比较的依据,影响是影响研究的可比性基础,关系是平行研究的可比性基础。由于影响研究的对象之间,存在着因果关系和事实联系,因此,在比较研究中,当你通过实际材料,阐明了两种文学间的渊源、传播和接受情况,当你认清了影响的种类和媒介的方式时,实际上就已

经找到了可比性,从而能有效地完成影响研究的任务。

当然,在一篇毕业论文的写作中,无论是关于小说、戏剧,还是诗歌,有时也可将解读分析法和比较分析法结合起来。

下面介绍关于文学批评的常用方法。

在西方,从亚里士多德起,便有很多哲学家、文学家努力探索更准确、更有规律地讨论文学作品的方法。他们借用语言学、心理学、人类学和哲学的理论等,对文学作品做深入细致的分析,帮助读者更好地理解他们所评论的那些作品。下面是对几种常见的文学批评方法的简单介绍,希望对英语专业本科生写毕业论文有所帮助。

(1) 传统批评(Traditional Approaches)。传统批评方法主要包括两种:历史生平批评(Historical-Biographical Approach)和伦理哲学批评(Moral-Philosophical Approach)。

前者通过考察作家的生平、生活环境、历史时代背景等来解读作品,把文学作品主要当成作者和作品中人物生活和时代的反映。比如通过对《哈姆雷特》进行细致入微的文本分析,考证出该剧的写作年代和当时王朝更迭的背景。

后者认为文学的主要功能在于教育伦理道德并探索哲学层面的问题,这种批评方式将文学作品置于一个特定的哲学观点或派别中来解读。比如从人性、救赎的角度来解读马克·吐温的《哈克贝利·费恩历险记》。

(2) 俄国形式主义批评(Formalist Criticism)。俄国形式主义是于20世纪初流行于俄国文艺界的一个文学批评理论流派。它的主要理论是反对从作家生平、社会环境、政治、历史、心理学等文学的外部因素去研究文学作品,注重文学性陌生化形式与内容,主张文学研究返回文学本身,即研究文学作品的语言、风格和结构等形式上的特点和功能,并且提出文学研究应该注重文学性,即“形式”。比如单纯从用词、意象、主题、隐喻的角度来解读马维尔的《致羞怯的情人》,或从“陷阱”这个隐喻的意象来解读哈姆雷特的心理。

俄国形式主义的局限在于其研究范围是很狭窄的,只注重对文本本身的研究,而摒弃文本以外的因素,认为文学作品是“意识之外的现实”。

(3) 精神分析批评(Psychoanalytic Criticism)。精神分析批评是用精神分析学理论对文学艺术及其各种文艺现象进行研究所采用的一种批评模式。这种批评模式的最基本的美学主张,就是强调人的无意识和本能冲动在艺术创造和审美活动中的决定作用。作为精神分析批评理论基础的精神分析学的创始人是奥地利精神病学家、心理学家弗洛伊德,他的精神分析学说形成于19世纪末至20世纪30年代。在此基础上产生的文学批评的精神分析流派则在20世纪20年代形成,30至40年代流行于欧洲,并成为20世纪西方文学批评中影响最大、延续时间最长的西方文艺批评流派之一。精神分析批评早期以弗洛伊德精神分析学说为核心。传统精神分析批评主要依据弗洛伊德的无意识理论、力比多学说、人格结构学说、释梦理论等理论和概念进行批评实践。他们或者在作品中寻找象征,以窥视作者的无意识创作动机,或者把文学作品的文本视为“病例”,通过分析作品的情节和人物语言、行为模式等揭示作者的心理和无意识欲望。比如,有学者从“弑父娶母”的心理情结来解读哈姆雷特复仇的犹豫不决。又比如,从心理分析角度来考察《哈克贝利·费恩历险记》中哈克对父亲的反叛。



(4) 神话原型批评 (Myth and Archetypal Criticism)。神话原型批评是于 20 世纪五六十年代流行于西方的一个十分重要的批评流派。其主要创始人是加拿大的弗莱。在其成名作《批评的剖析》中,他集中阐释了神话原型批评思想。弗莱认为,文学起源于神话,神话中蕴含着后代文学发展的一切形式与主题。正是在这个最一般的意义上,弗莱把神话称为文学的原型。简单来说,原型是普遍的象征符号。比如,“水”通常在文学作品中象征创造的神秘性、生一死一复活、纯净和救赎或繁衍和成长等;而“太阳”通常象征着创造力、自然法则等。比如,有学者从古希腊神话来找寻《哈姆雷特》剧的神话原型,提出莎士比亚剧中的神话元素多来自古希腊剧作家埃斯库罗斯的《奥狄浦斯王》和《阿伽门农》,并且哈姆雷特王子也并不是莎士比亚臆想出来的人物,其原型在古希腊的神话传说中。

(5) 女性主义批评 (Feminist Criticism)。女性主义文学批评诞生于 20 世纪 60 年代末 70 年代初的欧美,至今仍在继续发展。它是西方女性主义运动高涨并深入到文化、文学领域的成果,因而有着较鲜明的政治倾向。它是以妇女为中心的批评,其研究对象包括妇女形象、女性创造和女性阅读等。它要求以女性的视角对文学作品进行全新的解读,对男性文学歪曲妇女形象进行批判。它努力发觉不同于男性的女性文学传统,重评文学史;探讨文学中的女性意识,研究女性特有的写作、表达方式,关注女性作家的创作状况。它声讨男性中心主义传统文化对女性创作的压抑,提倡一种女性主义写作方式。女性主义批评在发展过程中广泛地改造和吸收了当代西方影响很大的新马克思主义、精神分析、解构主义、新历史主义等批评的思路与方法,体现了它的开放性,增强了它对父权中心文化的颠覆性。比如,从哈姆雷特和该剧中女性(他的母亲格瑞特和他的爱人奥菲莉亚)的关系来解读哈姆雷特性格中的优柔寡断;或从男性和女性关系角度入手来解读霍桑《红字》中的海斯特、《福谷传奇》赞诺比亚等女性形象。

(6) 文化研究 (Cultural Studies)。文化研究很难定义,但我们认为文化研究有以下四个共同的目的:一是文化研究超越某种独特的文化批评或历史的局限;二是文化研究和政治紧密相连;三是文化研究否定精英文学和通俗文学之间的界限;四是文化研究不仅分析生产的文化作品本身,而且也分析文化作品的生产方式。比如,从研究《哈姆雷特》中罗森克兰茨、吉尔登斯特恩这两个次要的被作者边缘化的人物入手,来分析莎士比亚时代英国的王权政治。

除了上述几种批评方法外,文学批评还有性别观批评、结构主义批评、后结构主义(解构主义)批评、读者反应批评以及后殖民主义批评等。将这些批评方法运用到论文中需要较高的知识水平和技能,不大适合本科阶段的学生理解和把握,故在此略去。

## 6.2.4 结语

由于文学类的论文在实际写作过程中的易操作性,文学研究在英语专业毕业论文选题中占了很大比例。正因为英美文学类论文数量多,所以容易出现题目雷同、重复研究等现象,所以在选题时应尽可能避免。在写作过程中,第一步是认真阅读原著,选好文本,并在阅读过程中做好笔记;第二步是选题,思考酝酿观点,形成自己的论点,想一想可以用哪种批评理论来解读作品,做到理论和文本密切结合;第三步是选择合适的材料构思并拟写提纲;第四步是拟写初稿和定稿,应注意行文前后连贯、逻辑严密、条理分明、论证清楚、有说服力。

## 【论文点评】

## A BRIEF ANALYSIS OF THE SUSPENSE SETTING OF CONAN DOYLE'S DETECTIVE FICTION

### Abstract

This paper aims at demonstrating Conan Doyle's suspense setting from multi-angles, which will guide the readers step by step to analyze cases carefully and thoroughly. In the meantime, following the mentioned suspense setting skills in this paper and the analysis of their function and effect, readers can eventually reason out the final result via independent thinking and at the same time have profound understanding of suspense setting rather than reading the fiction for fun. In addition, Conan Doyle's suspense setting sets a good example for later detective novelists and pushes them to create novels with more rationality, objectivity and logicity.

Furthermore, analyzing the characteristics of Conan Doyle's suspense setting is conducive to understanding “the father of detective fiction” Conan Doyle and “the well-known detective” Sherlock Holmes in depth and with the help of this analysis readers can figure out the reason why they have kept their reputation for hundreds of years and never fail to attract readers' attention all over the world.

**Keywords:** Conan Doyle; Sherlock Holmes; suspense setting; influence

## 1 Introduction

### 1.1 Arthur Conan Doyle and “The Complete Sherlock Holmes”

#### 1.1.1 Arthur Conan Doyle

Arthur Conan Doyle (1859-1930), the British outstanding detective novelist and playwright, is known as “the father of detective fiction” (Net.1). He was born in Edinburgh, Scotland. His father was a civil servant. Conan Doyle had been addicted to literature from his childhood. In middle school, he acted as the chief editor of school magazine. Graduated from the Medical University of Edinburgh, He had been a doctor for more than 10 years, but the income could only maintain his life. In 1891, he abandoned medicine for literature and became a detective novelist (Net.2).

The style of suspense setting in Conan Doyle's works has influenced many later detective novelists and their works. Two of them that have to be mentioned are John Dickson Carr (Net.3), “The king of Sanctum crimes' reasoning novelists” (Net.3) and “the oriental Conan Doyle”, Cheng Xiaoqing (Net.4).

#### 1.1.2 *The Complete Sherlock Holmes*

When Conan Doyle was 29, he published his first detective novel *A Study in Scarlet*, and then two years later, *The Sign of Four*, was published, which made the

invented leading role, Sherlock Holmes, known to all. Since then, he wrote 68 detective stories and four novellas with the main character, Sherlock Holmes. Besides *The Complete Sherlock Holmes* also includes: *Adventures of Sherlock Holmes*, *Memoirs of Sherlock Holmes*, *The return of Sherlock Holmes*, *The Valley of Fear*, *The Hound of the Baskervilles* and *His Last Bow* (Net.1).

### 1.1.3 Conan Doyle's Writing Style

The bizarre plot with twists and turns is the outstanding part of Conan Doyle's detective stories, which is made by superb suspense setting skills with careful, logical and rigorous reasoning.

"Suspense setting is the main characteristic of Conan Doyle's works, which is the essence of his success in writing detective fictions" (Stern, 2011). You may be curious about the connotation and function of suspense setting. According to "Encyclopedia Britannica", Suspense refers to a kind of mood that readers and audience owned, which makes them look forward to the fates of the characters and the unknown development of the plots (Net.5).

Suspense setting is "an art means to attract the masses' interests and enhance their urgent expectation" (Xiong Jie, 2008:24). We can know clearly that Conan Doyle's suspense setting not only satisfies the readers' love of detective fictions and enhances readers' abilities of exploration and analysis, but also reveals the implied social problems and human problems behind his works through the analysis of cases.

## 1.2 Literature Review

Many scholars would like to analyze the common points and differences in suspense setting between Conan Doyle and other detective novelists, and also the personalities and characteristics of the main characters in those famous detective fictions.

Some previous studies of *The Complete Sherlock Holmes* have been roughly concluded as follows:

When speaking of the general features of detective stories in suspense setting, *The British and American Popular Novels Overview* (Huang Lushan & Liu Peixiang, 1997) has to be mentioned, which summarizes five main features in suspense setting in detective novels, including flashback, setting questions, setting misunderstandings, making coincidence and fuzzy approach.

Starting from the discussion on the differences between Sherlock Holmes series novels and other detective stories in suspense setting, Zhang Weiting points out that "Sherlock Holmes series novels reflect more sense of presence and aliveness and pay more attention to shaping characters and psychological description" (2009).

The perspective "Analysis and crack of suspense refer to a kind of artistic means to shape characters, and readers in the process of cracking suspense can not only be satisfied with cognition but receive aesthetic pleasure" is well presented in "The Perfect Combination of Reason and Art" (Li Jian, 2006).



### 1.3 The Focus and Significance of This Study

Although the previous researchers have put forward numerous related arguments and presented a constructive set of ideas, they do not analyze suspense setting from different angles, including language, clothing and appearance, sounds and smells, action and reaction and facial expression, the function and effect of various kinds of suspense setting skills and their impact on later detective novelists.

This paper aims at demonstrating Conan Doyle's suspense setting from multi-angle perspective, which will guide the readers step by step to analyze cases carefully and thoroughly. In the meantime, following those suspense setting skills and the analysis of their function and effect, readers can eventually reason out the final result via independent thinking and at the same time have profound understanding of suspense setting rather than reading fiction for fun. In addition, Conan Doyle's suspense setting sets a good example for later detective novelists and pushes them to create novels with more rationality, objectivity and logicity.

Furthermore, analyzing the characteristics of Conan Doyle's suspense setting is conducive to understanding "the father of detective fiction" (Net.1), Conan Doyle and the famous detective, Sherlock Holmes in depth and figure out the reason why they have kept their reputation for hundreds of years and never failed to attract readers' attention all over the world.

## 2 Suspense Setting in Conan Doyle's Detective Fiction

Suspense setting is an outstanding feature of Conan Doyle's detective fiction. Before analyzing Conan Doyle's suspense setting skills, five common means of suspense setting should be reviewed with examples and analysis, which are beneficial to readers' understanding of suspense setting. However, it is just a tip of the iceberg to understand *The Complete Sherlock Holmes* without analyzing Conan Doyle's suspense setting skills in detail.

### 2.1 Five Common Characteristics

#### 2.1.1 Flashback

Using flashback refers to writing the end of the story first to leave a deep and strong impression on readers, and appeal the readers to finish the remaining part with suspense (Stern, 2011).

For instance, in *The Scandal In Bohemia*, To Sherlock Holmes, she is always "the woman". I have seldom heard him mention her under any other name. In his eyes she eclipses and predominates the whole of her sex (Doyle, 2011:32).

This kind of narration demonstrates the final influence of this woman on Sherlock in the first paragraph of the novel. People who are familiar with Sherlock Holmes know that he has a little bit scorn for women for the lack of talent and critical thinking. But there is a woman who not only wins respect from Sherlock but remains in his heart

for his whole life. Readers are curious about the identity of the woman and naturally eager to know the story between Sherlock and the woman.

### 2.1.2 Setting Questions

In the process of narration, setting some questions deliberately is an effective way to draw readers' attention and a good method to form suspense (Huang Lushan & Liu Peixiang, 1997). The following sentence is a good example, which presented in *The Adventure of the Illustrious Client*, "So you actually were not able to see that man was a sergeant of Marines?" (Doyle, 2011:12)

Sherlock's question clearly suggests that the man's identity is easy to know, which inspires the interests of readers. Guided by his hints, readers will strengthen the context reading comprehension and analysis, pay more attention to the descriptions of details, and try to draw a conclusion through their own analysis.

### 2.1.3 Setting Misunderstanding

Using suspicion or misunderstandings between characters to intensify contradictions, add waves, and constantly promote the development of the plot, the truth gradually revealed (Huang Lushan & Liu Peixiang, 1997:67). The example below can be well-proved by the words:

I sprang from my chair and limped impatiently about the room with considerable bitterness in my heart. "This is unworthy of you, Holmes," I said. "I could not have believed that you would have descended to this. You cannot expect me to believe that you have read all this from his old watch! And you had never cared about how personal and painful a thing it might be to me!" (Doyle, 2004:28)

When read this part of the fiction, *The Sign of Four*, these angry words make readers feel curious about the contradiction between Sherlock and Watson and what sort of thing can turn the debonair Watson into indignation, and how Sherlock will solve it. The linked ups and downs make readers addicted to reading and unable to stop.

### 2.1.4 Making Coincidence

Stern (2011) has ever given the view that "Using coincidence in our daily life is a good means to conceive the story, and achieve fascinating artistic effect". As can be seen in the following example:

H: "The two busts smashed in Dr. Barnicot's rooms were the exact duplicates of the one which was destroyed in Morse Hudson's shop, if I didn't guess correctly."

L: "Yes, you are right. They were taken from the same mould." (Doyle, 2003:32)

Two burglary cases happen in different places, on different time without any relation, but they own the coincidence with one over ten thousand of the chance that is the broken napoleons are taken from the same mould. Such kind of coincidence in *The Adventure of the Six Napoleons* causes readers' suspicion, and makes them more



interested in tracking the case development continually.

### 2.1.5 Fuzzy Approach

When narrating story, authors usually omit some content intentionally to let readers feel elusive and confused, and arouse various kinds of suspicion and supposition, which is also one of the means to set up suspense (Huang Lushan & Liu Peixiang, 1997:47). One of the most apparent evident lies in *The Sign of Four*: “I wish you, therefore, to make restitution. Put your ears down to my mouth. The treasure is hidden in...” (Doyle, 2004:143)

When the old man felt ashamed for what he did before and decided to disclose the hiding place, he was assassinated. The scene undoubtedly added suspense to the fiction, which let readers realize another conspiracy would be unfolded. They will be more looking forward to Sherlock Holmes’s performance, to see how he reveals conspiracies and let the truth surface.

## 2.2 Multi-angle Suspense Setting

### 2.2.1 Language

Suspense setting in language aspect is a common characteristic in detective novels, but Conan Doyle’s originality lies in the proper use of language skills, such as ellipsis, meet by chance, query and other methods to enhance the suspense color in cases and lead readers to carry on the analysis and reasonable association. The applications of language are fully confirmed by the following examples:

a. S: “Good-night, Mister Sherlock Holmes.”

H: “I’ve heard that voice before,” said Holmes, staring down the dimly lit street.

“Now, I wonder who the deuce that could have been.” (Doyle, 2011:201)

Conan Doyle uses language skillfully to elicit the new members of the case and to enhance the color of suspense. In the meantime, it is also an effective means to evoke readers’ suspicion and association about the cases.

b. H: “Anything remarkable on hand?”

L: “Oh, no, Mr. Holmes, nothing very particular. But...a little...emm... nothing.”

(Doyle, 2003:9)

The second conversation is between Sherlock Holmes and Sheriff Lestrade. In *The Greek Interpreter*, Sheriff’s answer obviously shows that he conceals the case on purpose. His hesitation and concealment cause the desire of readers who are eager to know the reason why the Sheriff would not tell the case to Holmes, what the case is, and makes Lestrade feel so hard to speak out. “One of the purposes in Conan Doyle’s suspense setting in language is to arouse the readers’ interest in the case.” (Liu Shisheng & Zhang Ping, 2001:208)

### 2.2.2 Clothing and Appearance

One of the most outstanding characteristics in Conan Doyle’s suspense setting

lies in detailed description of appearance. He not only focused on describing facial expression but more on clothing and accessories. “A grain of buttons or a piece of clay on the edge of shoes will become the key to solving crimes” (Xiong Jie, 2008:26). This is a kind of valuable wealth that he left for later detective novelists. As Holmes said in *A Study in Scarlet*:

My eyes tell me that on the inside of your left shoe, just where the firelight strikes it, the leather is scored by six almost parallel cuts. Obviously they have been caused by someone who has very carelessly scraped round the edges of the sole in order to remove crusted mud from it. (Doyle, 1992:78)

From his reasoning, we can know that only by Sherlock's eyes can we notice the leather shoes are scored by six almost parallel cuts, and infer the reason caused by scratching. His reasoning is always meticulous, fantastic and profound, which received numerous adoration and admiration. Conan Doyle, through such superb detailed description, makes Sherlock Holmes alive in readers' mind, which is an indelible imprint.

The superb description is well-presented in the process of describing clients, for instance:

From the lower part of the face he appeared to be a man of strong character, with a thick, hanging lip, and a long, straight chin suggestive of resolution pushed to the length of obstinacy”. (Doyle, 1986:48)

With the help of Sherlock Holmes's inference seems to disabuse readers' doubts, but in fact it is setting a new suspense: why does the man who owns this kind of identity come here and what is his purpose? This is a conventional technique of Conan Doyle's suspense setting with meticulous characterization, which makes readers always long for more.

### 2.2.3 Action and Reaction

Description of action and reaction is an indirect way to convey information to the readers, render suspense color, and lead readers to pay attention to the details of the action, seize the possible clues, and explore the motives behind the action and psychological activities of the characters (Stern, 2011). As can be seen in the following examples:

a. H: “Ha, ha, my boy, what do you make of that?”

His eyes sparkled, and he sent up a great blue triumphant cloud from his cigarette.” (Doyle, 1986:26)

Readers who are familiar with Sherlock Holmes will know that he has already got the answer. The author did not let him disclose the answer directly, but described his actions in *The Speckled Band*. Conan Doyle's purpose of doing so is to leave space for readers to think and analyze, and thus sublime the intended suspense.



- b. The man sprang from his chair and paced up and down the room in uncontrollable agitation. Then, with a gesture of desperation, he tore the mask from his face and hurled it upon the ground. (Doyle, 1986:62)

From the reaction of the client, it is clear that Sherlock Holmes has already deduced his identity, even his best-kept secret that has been hidden for years. By describing the reaction of the client, the author tries to arouse readers' desire to explore and to figure out clues by association and imagination.

#### 2.2.4 Sounds and Smells

Sounds and smells are two ordinary elements in our daily life, but they play necessary part in Conan Doyle's suspense settings. Let the readers not only stay in visual environment, but in a case filed which is surrounded by sense of presence (Fedor, 2004). Noisy crying, clop, disgusting smell of bad food, perfume from women and mingled flavor with dust and grass are all useful tools for suspense setting in Conan Doyle's novels.

The arrival of the client in *The Scandal in Bohemia* is accompanied by a series of sound description. For example, "As he spoke there was the sharp sound of horses' hoofs and grating wheels against the curb, followed by a sharp pull at the bell" (Doyle, 2011:59). First is the sound of horses' hoofs and grating of carriage wheels, followed by sound of the man's footsteps and gasps, and finally comes a sharp pull at the bell.

These series of sounds are from either far or near, which gives readers both a clear and fuzzy picture, and makes readers curious to know the appearance and identity of the client. In doing so, a further suspense is provoked in readers' mind.

### 2.3 Enhancers of Suspense Setting

#### 2.3.1 The Best Suspense Guider - Watson

In the fiction, Watson has an important position; his presence is of great significance. He is the assistant of Sherlock Holmes who can always put forward doubts and find problems at the proper time, which enhances the mystery of the event (Kociatkiewicz & Kostera, 2007). He is the best guide of readers to discover problems and analyze the cases so that Conan Doyle prefers to use "Watson's mouth" to raise questions. For instance, "This is indeed a mystery," Watson remarked. "What do you imagine that it means?" (Doyle, 2004:18)

#### 2.3.2 Suspense Atmosphere Makers

Conan Doyle usually intends to take advantage of the masses, the police or even government officials to foil the mystery and suspense of cases and emphasize the importance and influence of the event.

Sheriff said to Holmes, you both to promise an absolute secrecy for two years; at the end of that time the matter will be of no importance. But at present, it is not too much to say that it is of such weight it may have an influence upon European history. (Doyle, 2011:243)



The Sheriff emphasizes confidentiality over and over again in the case of *The Adventure of the Illustrious Client*. His behavior indicates the importance of this case and at the same time enhances the atmosphere of suspense.

## 2.4 The Power of the Villain Sublimes Suspense

### 2.4.1 The Debut of Moriarty

The debut of Moriarty is in *The Valley of Fear* and this case is the most difficult case than Holmes has met ever before. In this case, a dark underground evil organization penetrates into government to do wicked deeds. And the leader of this organization is Moriarty. Holmes has even evaluated him:

But in calling Moriarty a criminal you are uttering libel in the eyes of the law- and there lie the glory and the wonder of it! The greatest schemer of all time, the organizer of every deviltry, the controlling brain of the underworld, a brain which might have made or marred the destiny of nations - that's the man! But so aloof is he from general suspicion, so immune from criticism, so admirable in his management and self-effacement, that for those very words that you have uttered he could hale you to a court and emerge with your year's pension as a solarium for his wounded character. (Doyle, 1986:437)

Sherlock Holmes's evaluation of Moriarty makes the readers feel more curious about this person, because he can make the omnipotent detective feel difficult. Only by setting a villain can novelists enhance mystery of the novel, make the plot more complete and push the development of the plot step by step to the climax (Foss, 2012).

### 2.4.2 The Battle of Wits between Sherlock and Moriarty

As an old Chinese saying goes, "quitting brave victory, quitting wise victory". But Moriarty created by Conan Doyle is the man who is as wise as Sherlock. It is known to all that it must be a desperate battle between those two wise men.

"The outcome is important though, for both of them, it is not only for their own reputations, but a battle between good and evil, brightness and darkness. No matter who win the battle, they all have great influence on social development and even the fate of the whole country". (Fedor, 2004:79)

The main purpose of creating Moriarty is to increase the color of suspense and do further foreshadowing for the plots and the expression of the gist in novel. The competition between a perfect villain and the great detective must be more attractive than the case itself. Meanwhile, through the foil of Moriarty, the image of Sherlock becomes clearer to readers with strong stereoscopic sensation. Moreover, readers can not only deepen their understanding of Sherlock Holmes, but also gain a profound understanding of the ugly social reality in that period of time.



### 2.4.3 Unexpected Ending in *The Final Problem*

Unexpected ending is a major bright point in Sherlock Holmes series novels, *The Final Problem* ends with the scene that Sherlock Holmes and Moriarty fall down together from the waterfall, which greatly enhances the suspense atmosphere, causes readers' conjectures and expectation to the next works. Sure enough, in *The Adventure of the Empty House*, Sherlock is eventually brought back to life, which proves the belief that "Evil can never prevail over good".

## 2.5 The Purpose of Suspense Setting

After analyzing Conan Doyle's suspense setting skills carefully, it is obvious that the charm of *The Complete Sherlock Holmes* lies in many aspects, including multi-angle suspense setting, ingenious use of onlookers to foil suspense atmosphere, creating unexpected ending and so on. Admittedly, the above-mentioned skills are definitely the soul of Conan Doyle's fiction, but the function of using these skills and the author's intention of doing so actually outweighs the skills themselves.

### 2.5.1 For Shaping Characters

Conan Doyle pays more attention to the description of details of characters. He is apt at exploring personalities of characters from different angles, taking Watson as an example. Watson appears in an ordinary way, but with the development of the plot, readers gradually understand him from different angles.

"The meticulous and multi-angle descriptions of characters made by Conan Doyle endow the characters with blood and soul" (Kociatkiewicz & Kostera, 2007). Because of the fantastic suspense setting, readers gain a visual sense of presence and at the same time become more familiar with characters.

In *The Sign of Four*, a golden watch owned by Watson's elder brother shows the deep emotion of Watson toward his family members; in *The Adventure of the Illustrious Client*, by describing Watson's clothing and accessories, readers can clearly know that he is a generous person because of his attitude toward his careless servant without scold and abuse.

### 2.5.2 For Training and Attracting Readers

Conan Doyle's suspense setting involves an effective interaction between readers and the author. It is attractive for readers to get involved in the investigative process and meanwhile it is also a kind of training that may enhance the abilities of exploration and analysis of readers.

There seems to be a competition between Holmes and readers. Conan Doyle will always leave some space for readers to analyze the cases and develop imagination (Li Jian, 2006).

W: "This is indeed a mystery. What do you imagine that it means?"

S: "I have no data yet. It is a capital mistake to theories before one has data." (Doyle, 1986:32)

As can be seen in the simple instance above, which derives from *The Hound of The Baskervilles*, Conan Doyle deliberately delays analysis of the case by Holmes, which aims to give plenty of time for readers to do independent thinking and analysis, and at the same time arouse readers' expectation for Holmes' subtle reasoning.

### 2.5.3 For Meeting Readers' Aesthetic and Cognitive Satisfaction

Conan Doyle's real life experiences provide him with a lot of material to present a legendary detective with wisdom, rationality and sense of justice, which brings about aesthetic satisfaction of readers for his intelligence and fantastic reasoning.

Nevertheless as it is known to all, an invented legendary figure can not obtain admiration from readers and remain in people's mind for a long time, because he or she is a fictional person who will be replaced by numerous new characters sooner or later. I agree with Li Jian (2006) on this point that "Conan Doyle has known the rule clearly and created the legendary figure as normal people with weaknesses, the scope of knowledge of Holmes presented in *A Study in Scarlet* makes him closer and attractive to the readers".

Sherlock Holmes—range of knowledge

1. Knowledge of Literature—Nil.

2. Knowledge of Philosophy—Nil.

3. Knowledge of Astronomy—Nil.

4. Knowledge of Politics—Feeble.

5. Knowledge of Botany—Variable. Knows nothing of practical gardening.

Well up in belladonna, opium, and poisons generally.

6. Knowledge of Geology—Practical, but limited. Tells at a glance different soils from each other. (Doyle, 2011:14)

Who can imagine such a great detective has no knowledge of "the earth moves around the sun"? William Shakespeare is a great poet and playwright or even knows nothing about watering flowers. However, that is the man, Sherlock Holmes, the great detective widely known by people all over the world and keeping his reputation for several centuries.

## 3 The Influence of Conan Doyle's Suspense Setting

The value of Conan Doyle's suspense setting lies in not only its attracting readers and training them to enhance the abilities of exploration and analysis but also lies in Conan Doyle's influence on the development and prosperity of detective fiction and later detective creation. Conan Doyle and his Sherlock Holmes conduct the detective fiction writing styles of later novelists such as John Dickson Carr and Cheng Xiaoqing.

### 3.1 The Development and Prosperity of Detective Fictions

In the book, *The British and American Popular Novels Overview* (Huang Lushan & Liu Peixiang, 1997:48), we can clearly know that 19th century was the bud of



detective novels. Due to the separation of preliminary form and the foundation of police system, social basis toward detective novels were gradually established.

Cao Zhengwen (1998) said that under the guidance of Conan Doyle, the period between the WWI and WWII was called the “Golden Age” of western detective novels. Since then, the detective novels have become popular throughout Asia, first appeared in Japan and then affected China.

### **3.2 The Features of Conan Doyle’s Suspense Setting**

Jerzy Kociatkiewicz and Monika Kostera (2007) have ever commented on the development of detective fiction. When the kind of romantic feeling in early detective works gradually disappeared, murder cases became the essential factor in every fiction. But these works lack observation toward life. Though there were some good detective fictions which claimed justice, the color of individualism was obvious.

By the influence of Conan Doyle’s suspense setting, detective fictions gradually involved more complicated social problems, criminal psychology, and the clarification of complex crime motives, which was regarded as a big progress of western detective novels.

### **3.3 Influences on Later Detective Novelists**

#### **3.3.1 American “Conan Doyle” John Dickson Carr**

John Dickson Carr (1906-1977), “The king of Sanctum crimes reasoning novelists”, lived in Britain for many years to follow the steps of the master (Net.4). He not only imitates and learns from Conan Doyle’s style but also tries to seek innovation.

Carr’s detective, Dr. Gideon Fell and his reasoning investigation are obviously similar to those of Sherlock Holmes. With the help of ancient legends and gothic scenes, Carr uses detailed description of the environment to foil supernatural terror feeling and strive to present the complete case (John, 2011:9).

#### **3.3.2 Oriental “Conan Doyle” Cheng Xiaoqing**

Cheng Xiaoqing (1893-1976) is known as “the oriental Conan Doyle”. He has ever said that the soul of his works is derived from Conan Doyle and the roots of his two main characters also come from Sherlock Holmes and his partner Watson (Net.2).

The only difference lies in the fact that Cheng Xiaoqing describes the cases that resulted from social evils of Old China. His detective novels not only reflected Old China’s social problems, but also praised the beauty of human nature. He also paid more attention to the psychological analysis of the figures, and combined murder and real life projection to form his own style (Cheng Xiaoqing, 1997:45).

## **4 Conclusion**

This paper mainly studies the suspense setting in Conan Doyle’s detective fiction from seven aspects (language, clothing and appearance, action and reaction, sounds and smells, onlookers’ perspective, villain creation and the unexpected ending) and his great influence. By summarizing the above-mentioned examples and perspectives of

some famous scholars, I draw the conclusion that Conan Doyle's suspense setting not only satisfies the readers' love of detective fiction and reveals the implied social problems and human problems behind his works through the analysis of cases, but also sets a good example for later detective novelists.

Many later detective novelists influenced by Conan Doyle's suspense setting skills have achieved great successes, such as Agatha Christie, Maurice Leblanc, Seicho Matsumoto, Seiichi Morimura, and the above-mentioned John Dickson Carr and Cheng Xiaoqing. Agatha Christie (1890-1976), the famous female detective novelist in Britain, had ever praised that, "Arthur Conan Doyle is the hero in my heart" (1916). A British magazine has promised to pay 100 pounds per thousand words to buy the copyright of Conan Doyle; it was a miracle at the time of British publishing (Net.1). Thus it can be seen, Conan Doyle well deserves the title —"The Father of Detective Fiction".

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### 【评析】

本文选题属于文学创作技巧一类, 文章分析探讨柯南·道尔小说中的一个很常见也很重要的一个技巧, 即悬疑设置。作者首先简单介绍了柯南·道尔的生平和主要著作, 并总结了前人在悬疑设置技巧研究的重要成果, 基于此提炼出自己研究的创新之处和研究目的, 即从多角度展示柯南·道尔的悬疑设置方式, 帮助读者从创作技巧层面更深刻地理解柯南·道尔的小说, 解释其受大众普遍欢迎的原因。文章最出彩的地方在于能总结并提出 14 种悬疑设置的方式。作者先通过小说中的几个例子解释了前人研究的五种悬疑设置技巧(闪回、问题设置、误解设置、巧合设置和模糊技巧), 接着, 作者创新性地从多角度(如语言、服装和外表、声音等)并通过细致的文本解读来达到其文章写作的目的。我们可以注意到, 对每一种悬疑设置技巧的分析, 作者都从小说中精心挑选了可以证明其观点的例子。比如, 在分析语言的悬疑设置技巧时, 作者从小说中直接引用的是 S: “Good-night, Mister Sherlock Holmes.” H: “I’ve heard that voice before,” said Holmes, staring down the dimly lit street. “Now, I wonder who the deuce that could have been.” (Doyle, 2011:201)。而在分析服装和外表悬疑设置技巧时, 作者从小说中直接引用的是 My eyes tell me that on the inside of your left shoe, just where the firelight strikes it, the leather is scored by six almost parallel cuts. Obviously they have been caused by someone who has very carelessly scraped round the edges of the sole in order to remove crusted mud from it. (Doyle, 1992:78)。这些分析和文本的引用紧密结合在一起, 而文本的引用很好地证明了作者的观点。可以说, 在该篇论文中, 作者很成功地使用了解读分析的方法。对文本解读之后, 作者自然而然地进一步去探讨悬疑设置目的、作用和影响, 最后做出总结。文章结构清晰, 分析透彻, 语言使用恰当, 选词合理、句式丰富, 不失为一篇佳作。如果能对每个的悬疑设置技巧给出两个以上的例子, 便会使文章更具说服力。

## 6.3 跨文化交际研究论文 ◀◀

文化研究自 20 世纪 90 年代以来逐渐成为热门研究领域。由于语言与文化紧密相连, 英语专业的学生在不断提高英语技能的同时, 也在不断接触了解英语国家的文化, 在体会发觉英语国家文化与中国文化区别的同时, 也对此差异产生研究兴趣, 所以跨文化交际类的论文逐渐成为受很多英语专业学生青睐的选题内容。

跨文化交际学作为一门新兴学科从出现至今只有几十年的时间, 但是跨文化却是一种存在已久的社会现象。交际是人的本性, 也是人的本质得以形成和展开的手段和途径。正是在从低级到高级、从简单到复杂、从局部到全球的人际交往中, 在多样性文化的交流、

渗透和融合中,人类对于客观世界和主观世界的认识和实践才不断得以发展,人类文明的发展和社会的进步才得以被推动(董晓波,2012)。

跨文化交际学是专门研究跨文化交际中的矛盾与问题,并探索如何解决这些问题以及如何提高跨文化交际能力的一门学科(戴维斯,2010)。该学科的建立基于以下理论观点:个人与社会是互为前提存在的,人的交际行为受社会文化的制约,而文化的传承与发展也离不开人的交际(董晓波,2012)。跨文化交际学是一门交叉学科,它与文化学、传播学、语言学、社会学、人类学、心理学等学科密切相关,其研究结果不仅对跨文化交际实践有着指导意义,还对外贸、外语教学、翻译等各个领域的实践活动有着重要的参考价值。

### 6.3.1 跨文化交际的概念

什么是跨文化交际?简单地说,当不同文化成员产生交流时,跨文化交际就产生了。Gudykunst 与 Mody (2002)认为,跨文化交际通常是“涉及不同民族文化背景的人面对面交流”。在英语中,跨文化交际有两个术语:一种叫“Intercultural Communication”,指的是文化感知和符号系统完全不同的人们之间的交流;另一种叫“Cross-cultural Communication”,指的是来自不同文化的人们的交流,暗含了不同文化的比较。所以,前者“Intercultural Communication”的涵盖范围更广泛一些。

Samovar (2000)等学者在讨论跨文化交际时,经常会从三个角度来研究:跨种族交际(Interracial Communication)、跨民族交际(Interethnic Communication)以及内文化交际(Intracultural Communication)。前二者的意思从字面上就能理解,即交际双方来自不同的种族,或同一种族不同的民族。内文化交际,指同一文化内成员之间的交际,也就是同一种族、政治倾向、宗教或者具有同样兴趣的人们之间的交际。不管是哪种形式的交际,都有着类似的过程和组成要素,“交际”二字可以说是跨文化研究的核心。

### 6.3.2 跨文化交际类论文的选题

言语交际(Verbal Communication)与非言语交际(Non-verbal Communication)是跨文化交际的两种重要形式。以下将通过简单介绍言语交际和非言语交际,以及对跨文化交际有着重要影响的生活习俗方面的差异来谈谈跨文化交际类论文的选题范围和内容。

#### 1. 跨文化言语交际

美国诗人爱默生(Ralph Waldo Emerson)说过:“语言是历史的档案。”语言是人类重要的交际手段,是人与周围外界沟通的媒介。语言是文化的载体,人们交际活动中使用的语言不可避免被打上文化的烙印;而同时,文化只有通过语言才得以延续、传承和发展。一个民族特有的物质环境、社会结构、精神信仰等,往往首先通过这个民族特有的词汇表现出来。在跨文化交际中,语言的重要性不言而喻。

首先,不同的语言使用不同的符号来表达意思。比如中文里的“谢谢”,英语是“thanks”,法语是“merci”,德语是“danke”,而日语是“ありがとう”。除了符号之外,语言规则也影响着意思的表达。比如,中文的“猫吃老鼠”,英文是“The cat ate the mouse”,而日语里表达顺序则是“猫老鼠吃”。

除了表面的符号和语法以外,不同的语言还有着不同的文化含义(connotation),表现在词汇、语篇、文体等各个方面。拿词汇举例来说:英语的individualism与汉语中的“个人主义”所包含的价值观有着很大的不同。很多英语国家的人对individualism的理解是积

极、正面的,它代表着自信、自立和个人创造的精神,是企业 and 事业发展的有力推动;而汉语中“个人主义”则被看成与集体主义相对立的、以个人利益为出发点、自私自利的一种价值观。类似的,红色(red)一词所代表的中西方的文化含义也不尽相同。在中国文化中,红色更多地象征吉祥、兴旺等积极意义,代表着喜庆、成功、吉利,或者带有浓厚的政治色彩,例如“红旗”、“红军”“红色娘子军”等;而在英语文化中,红色则更多地代表暴力、血腥、残酷、危险、狂热、激进等负面意义,并较少带有政治色彩。

受不同文化的影响,一个普通的词在一种语言里可能有非常丰富的联想意义,而在另一种语言中仅仅只是一个语言符号。比如“竹子”这种植物被中国传统文化赋予了深厚的含义。人们常用“竹”来喻人,表达人物正直坚强、高风亮节的性格。成语中“势如破竹”就是个很好的例子。而“bamboo”这个词在英语中几乎没有任何联想意义,甚至连其本身就是一个外来词,因为竹子不是土生土长于英国的,这也决定了 bamboo 一词缺乏内涵。类似的,汉语中的“松”、“梅”常用来象征人的品格高洁,而与它们相对应的英语单词“pine”、“plum blossom”却没有类似的联想意义。

正因为文化的不同,面对不同的场景,人们应对的方式各有差异,这种差异也会在语言上反映出来。比如当人们来家里吃饭,称赞菜肴的美味和主人的手艺时,美国人可能会说:“很高兴你喜欢,这些菜是我特别为你做的。”而中国人很可能谦虚地说:“哪里哪里,一点小菜,不成敬意。”

其实,跨文化言语交际不仅仅存在于中西方之间,只要是交际双方的文化背景不同,就可能产生跨文化交际。比如同样是英语国家,在传递同一条信息时,美国人在表达上更直接,而英国人却相对内敛而委婉。例如在不允许带狗进入的场合,美国人会直接放上“No Dogs Allowed”这样简明的标示牌,而英国人则可能会说:“We regret that in the interest of hygiene, dogs are not allowed on the premises.”

由此可见,跨文化言语交际这方面的选题范围较广,可选的研究角度多,既可以从不同文化的语言符号、语言规则方面入手,也可以从语言的文化含义切入。希望从跨文化言语交际方面选题的学生,需要注意观察研究语言的差异性,在了解不同语言或语言符号背后的文化含义,包括不同的文化感知、信仰、价值观、态度等的基础上,选一个自己感兴趣的、较小的、研究可操作性较强的角度,进行跨文化论文的写作。

## 2. 跨文化非语言交际

人类交际的手段不仅仅限于语言词语,人们会有意无意地借助肢体语言来辅助思想的表达或情感信息的传递。非语言交际,是主要通过身体语言(body language)进行的交际形式,例如手势、姿势、面部表情、视线、谈话距离等都属于身体语言,都能够传递信息。比如当管理者对员工表现很满意时,他直接对员工说与他边拍着员工的肩膀边称赞所传达的意思是不尽相同的。肢体接触会传达出语言讯息未包含的意思。

成长于不同文化背景的人,利用身体语言传达意思的方法也不尽相同。拿面部表情举例,有学者研究证实,英语国家的人,特别是美国人,在交谈时面部表情比较丰富,甚至给人以夸张之感,而且讲究面部表情与交谈对象的感情呼应。相比之下,中国人则显得含蓄内敛,不会将喜怒哀乐情绪显露面上(董晓波,2012)。这一点从人们常使用的网络表情符号中也可窥见一二:比如西方人在网络聊天时常常用“:)”或“:(”的表情符号表示开心或难过,情绪更多地从嘴巴的形状(面部表情)上反映出来;而我们受日本文化影响,常



使用“^\_^”或者“(T\_T)”之类的符号来表示高兴或悲伤,情绪从眼睛而非嘴巴的变化上体现出来。所以我们倾向于看眼睛来捕获情感暗示。

由于文化背景的不同,人们对同一种肢体语言的解读也会存在差异。Zhou(2005)等一些学者做过一个关于跨文化情绪理解的研究,结果表明,面对同一张“面无表情”的脸,中国人更倾向于将这种平静表情解读为“愉快”的情绪,而澳大利亚人将其解读为“不愉快”的情绪。

此外,不同文化的人们使用同一种肢体语言所传达的意思也会迥然不同。例如,拥抱与亲吻是很多西方国家常见的体态语形式。亲吻和拥抱,作为情感的表达方式,在很多西方国家不仅常见于夫妻和恋人之间,其作为朋友或熟人之间打招呼或问候的方式也不少见。比如,在法国和拉丁美洲地区,很多人习惯通过亲吻脸颊的方式进行问候、表达友好;在我国,人们在见面时则习惯于握手,极少拥抱——对我们来说,拥抱与亲吻一般只会发生在恋人或家人之间;而日本人则倾向于互相鞠躬致意。

有研究结果表明,在面对面的交际中,信息的社交内容只有35%左右是语言行为,其他都是通过非语言行为传递的(张霖欣,2006)。非言语交际在跨文化交际中的地位举足轻重,这是因为在人际交流中,许多意义甚至有时大多数的意义是通过触摸、目光、音调的细微差异,以及手势或面部表情在有或没有言语行为的帮助下引出的。我们常常依据非言语行为做出对别人的判断和决定,通过分析非言语行为来试图了解他人的内心世界。而在跨文化交际中,有不少交际失败也是由于对不同文化背景的肢体语言的误解造成的。因此,对不同文化中的非言语行为进行对比研究,揭示其文化差异,会有助于我们更恰当地了解所学语言的文化,对跨文化交际的实践有着重要指导意义。想从这一方面选题需要注意的是,很多非言语交际与人的行为密切相关,需要做好实践调查研究的准备。

### 3. 生活习俗方面的差异

日常生活方面的差异对跨文化交际的影响十分广泛。因为生活习俗涉及人们社会生活的方方面面,随处可见。生活习俗的表现形式既有语言的,又有非语言的。比如以语言为表现形式的习俗有形式习俗、称谓习俗、寒暄问候习俗、致谢与道歉习俗、称赞习俗和介绍习俗等;以非语言为表现形式的习俗有身体语言习俗、衣食住行习俗、婚丧嫁娶仪式习俗、宗教仪式习俗等。所以在介绍了跨文化语言交际和非言语交际之后,笔者在此简单谈谈生活习俗方面的差异。

举例来说,在英语国家对已婚的女子可称“Mrs.(夫人)”,用在其丈夫姓前,或者名和丈夫姓前。对未婚的女子称为“Miss”(小姐),用在姓前或全名前。这与中国的称谓方式有着很大的不同,中国虽然也有“方太太”、“李夫人”之称,但远没有英语国家普遍。而且在“夫人”之后也没有使用闺名的习惯。

在亲属称谓方面,中西方的差异同样显著。比如,汉语中亲属词分得比较细,这是中国文化所赋予的特色。与英语中的词语及其用法相比,汉语中有“叔”、“舅”、“伯”,而英语中只有一个词来表示:“uncle”;汉语中有“兄”与“弟”,而英语里统称“brother”。

此外,寒暄语在不同文化中的差异也很大。寒暄是指人们见面或相遇时为建立一种交际气氛或保持社交接触而采用的一种格式化的语言习惯。英语国家除了问候早中晚好之外,最常用的是“How are you?”但是,这句话在中文里却很少用来寒暄,中国人更喜欢说“吃了没?”“出门啊?”“回来啦?”等。

由此可见,每一种文化在方方面面都有其特色,跨文化交际研究涵盖范围也较为广泛。作为英语专业的本科生,在撰写跨文化交际方向的论文时,可以结合外语学习和应用的需要进行研究。如果对跨文化言语交际感兴趣,可以考虑从以下方面来选题:

- (1) 词汇的文化内涵。
- (2) 日常谈话中的文化差异。
- (3) 成语、谚语和典故。
- (4) 比喻和联想。
- (5) 委婉语和禁忌语等。

其实,这些方面就本科毕业论文来说研究范围仍然太大,需要在确定一个方面后,选择一个自己感兴趣的具体的话题,纵向进行展开,而不宜泛泛而谈。

### 6.3.3 跨文化交际的研究方法

由于跨文化交际的研究与人息息相关,所以很多论文以人的行为习惯作为研究对象。

研究方法是指学者在从事某项科学研究时所采用的策略或解决问题的途径。英语专业的本科生,应对各种常用研究方法有一个初步的了解,这样写出来的论文学术性更强、更有深度。

常用的研究方法包括比较研究法、调查研究法、观察研究法、实验研究法和个案研究法(林聚任,2008)。在具体的研究中,可以选用一种方法或根据实际需要,将几种研究方法结合起来运用。下面介绍这5种常用的研究方法。

(1) 比较研究法,是指对两个或两个以上的事物或对象加以对比,以找出它们之间的相似性与差异性的一种分析方法。由于跨文化研究之“跨”的性质,比较研究法在跨文化研究中较为常见。使用比较法进行跨文化研究时,需要遵从:

① 可比性原则,即研究对象在某些背景、本质上具有相同或相通之处。

② 横向比较与纵向比较适当结合的原则。横向比较是指对同一时期的不同对象进行对比分析,也可以在同类事物内部的不同部分之间进行对比。而纵向比较是指对同一对象在不同时期的状况进行对比分析,主要着眼于其历史发展。

③ 相同性比较与相异性比较适当结合的原则。进行比较分析的一个重要目的,就是找出研究对象的共同点和不同点,从而加深对它们的认识。对共同点的比较目的在于把具有相同或相似性质的对象归入同类做分析,这样有助于概括事物的本质特征。而对事物差异的比较有助于区分和鉴别事物的不同类型,分析各种类型的不同特点。

(2) 调查研究法,一般是通过访问、座谈、问卷、测验和查阅书面材料等方式去收集反映研究对象的材料。调查法的一般步骤如下:

① 选定调查对象,确定调查范围,了解调查对象的基本情况,研究有关理论和资料,拟订调查计划、问卷、谈话提纲等,规划调查的程序和方法,以及各种必要的安排。

② 按计划开展调查活动,通过各种方式收集材料。

③ 整理材料,包括分类、统计、分析、综合、写出调查报告。

(3) 观察研究法,即人们在自然条件下通过感官或借助一定的科研仪器,有目的、有计划地考察现象并对其进行分析的一种科研活动。“观”是指看听等感知行为,“察”即分析研究,属于人的心理活动。用观察法研究的成效如何,在很大程度上取决于前期的准备工作。它主要包括确定目的、中心和范围,拟订计划与步骤,对所观察对象的一般了解,

观察标准的统一等。在观察中,要善于抓住现象中所需要观察的事实和材料,并发现各种现象间的联系,及时做好全面记录。结束观察后,要集中、分类和整理材料,写出分析报告。

(4) 实验研究法是研究者根据研究目的,人为地改变或创设一定的环境和条件,让一种或几种因素发挥作用,使之产生某种现象并通过对这些现象的观察、记录、分析,揭示出其原因和规律,得出事物之间的必然联系的一种研究方法。其基本特征是实验前先提出设想,即理论假设,实验中严格控制各种条件,以及实验结果的重复验证。

(5) 个案研究法是对个别的、典型的人或事进行深入具体研究的一种方法。它通过追踪研究对象某一方面的行为,对其个体特征给予关注,多渠道收集研究数据并进行描述与分析,揭示具有普遍意义的规律。它也可以通过若干个个案研究,从中进行比较,找出规律性的东西进行总结归纳。个案研究所用的具体方法随研究的目的和研究对象的变化而不同。其步骤为:

- ① 确定个案研究对象。
- ② 进行观察、调查,收集资料。
- ③ 进行个案分析研究,写出研究报告。

在做个案研究时应注意以下几点:

- ① 研究对象的选择须具有典型性。
- ② 做好材料的积累,须较全面地记录关于研究对象的个案材料。
- ③ 对获得的资料做出合理的分析和解释,并根据实际需要提出建议和改进措施。

#### 6.3.4 结语

跨文化交际是一门与社会学、人类学、传播学、心理学、语言学等其他人文社科领域高度交叉的学科,其所涉及的研究对象范围较广,学生很容易从中发现自己感兴趣的研究点。因此英语专业的学生中选择跨文化交际作为毕业论文研究方向的比例不小。在实际撰写跨文化交际类论文过程中,需要注意:

(1) 结合实际情况,避免将研究范围选的过大或过小,或是提出不切实际、没有可操作性的研究问题。

(2) 充分阅读相关文献资料,对自己要研究的话题有一个清楚的认识,写的时候避免出现离题或泛泛而谈的情况。

(3) 根据研究对象或内容,选择适当的研究方法,让研究过程尽量科学、严谨。

(4) 在陈述和分析数据时,做到逻辑合理、结构清晰。

【论文点评】

## CHINESE ELEMENTS IN HOLLYWOOD MOVIES

### Abstract

In the process of globalization, Hollywood, as an important medium for the cultural exchange, enhances the communication between countries. In the whole history of its development, Chinese elements play an important role. The successful application of Chinese elements makes the Hollywood movies more and more popular.



On one hand, these Chinese elements affect the Chinese film audiences and some foreign audiences who are interested in Chinese culture, on the other hand these elements show that the western culture has raised Chinese cultural consciousness. So the application can be seen as an effective way of broadcasting Chinese culture. Of course, the example of making good use of Chinese elements for boosting economy should be followed by Chinese film industry. This paper takes the film *Kung Fu Panda* as an example, briefly reviews the Chinese elements that influence Hollywood movies, and provides some recommendations and advice to make good use of Chinese elements.

**Keywords:** Chinese elements; Hollywood movies; western culture

## 1 Introduction

Chinese elements in Hollywood are no longer a new topic. Having a talented skill of kung fu, Chinese kung fu star Jackie Chan and Jet Li have a fixed group of fans in the United States.

Although that Chinese stars appear in the American mainstream movies from time to time is common, it still can attract fans in China and becomes a hot topic of media. Therefore a high-profile Chinese element is a microcosm of the globalization.

If China's history and culture are representatives of the east, then Hollywood movies of the United States can be regarded as a symbol of the west. There are indications that the two completely different things are integrating gradually. Hollywood has been called the “dream works” in the United States from decades ago.

It is attracting all the eyeballs all around the world as well as promoting the Americans' values and way of life. As China is becoming stronger and stronger, it has continuously been making efforts to communicate with the outside world.

Hollywood focuses on this oriental country. Hollywood is developing China's cultural themes, unique customs and universal values, introducing Chinese directors, actors, buildings into the films. Hollywood urgently requires world themes to broaden their cultural influence and profitability (Zhou, 2009:3). Hence, they have focused on China and the splendid Chinese civilization.

### 1.1 Definitions of Terms

#### 1.1.1 Chinese Elements

Chinese elements, generally recognized by most Chinese (including overseas Chinese), are condensed from the traditional culture and spirit of the Chinese nation, and reflect the national dignity and national interests. It can be an image, a symbol or a custom. In whatever case, the Chinese elements should always retain its seriousness, solemnness and symbolism, and should never be distorted maliciously, discriminated against or even blasphemed.

Based on their embodiment in Hollywood movies, Chinese elements can be divided into two categories (Net.1).

The first kind of Chinese element, which is also one of the biggest selling points of Hollywood films, is the unique Chinese kung fu, which is both mysterious and powerful, and owns a stock of elusive power in foreigners' view.

Another Chinese element in Hollywood movies is the wonderful landscape of the Chinese nation. For example, the setting of the movie *Kung Fu Panda* is in China, and Chinese style paintings are showed in it as backgrounds. For example, the important setting Yu Palace and Peace Valley is a reflection of the Chinese palace constructions and beautiful landscape.

### 1.1.2 Hollywood

Hollywood is a district in the central region of Los Angeles, California, the United States. It is notable for being the home of the entertainment industry, including several of its historic studios. Its name has come to represent the motion picture industry of the United States. Hollywood is also a highly ethnically diverse, densely populated, economically diverse neighborhood and retail business district(Net.2). Hollywood was a small community in 1870 and was incorporated as a municipality in 1903. It merged with the City of Los Angeles in 1910, and soon thereafter a film industry began to emerge, eventually becoming dominant in the world.

### 1.1.3 *Kung Fu Panda*

*Kung Fu Panda* is a comedy action movie. The leading role is a favorite noodle dreamer, living in a daydream all day. However, in order to become the legendary dragon warrior, he has to first learn to judge himself correctly, and to accept his powerlessness and the mundane. This is a touching and inspirational story. It is generally believed that it has combined the Hollywood's style and Chinese elements almost perfectly(Net.3).

## 1.2 Significance of Study

Through this study, a better understanding of Chinese elements will be achieved. For the Chinese audiences, they can have a new idea when they enjoy the movie such as *Kung Fu Panda* or *Mulan*, that is, a sense of national pride. For the foreign audiences, they can have a full recognition of Chinese culture, so they can enjoy the movie well. This essay reviews the results of the topic, and explains what Chinese elements are used in the movie *Kung Fu Panda* and how these elements make a difference in detail. It is not only a study of a movie, but also a vehicle to express Chinese culture to the whole world. And some advices about how to successfully use the Chinese elements can be given.

## 2 Literature Review

### 2.1 Review of the Chinese Elements in *Mulan* and *Kung Fu Panda*

The topic of Chinese elements in Hollywood movies has been studied by many scholars. Here are some results achieved by other people about the use of Chinese



elements in *Mulan* and *Kung Fu Panda*. They analyse the film using Content Analysis.

(1)The use of color in the movie *Mulan*.

The color of the background is Chinese washing paintings. From the beginning of the movie, the color of *Mulan*'s dress is fresh, which has a traditional Chinese color. The battlefield, the gray field and the grand momentum show China's charm.

(2)The use of animals in Hollywood.

In Hollywood movies, animal is a very typical element. The movie *Mulan* uses the Chinese dragon. Dragon always represents China, and it is China's mascot. Cricket is also very typical. There are many games associated with crickets in folks to gain pleasure. (Wang, 2012:5)

(3)The use of dresses in Hollywood movies.

In the movie *Mulan*, the dresses imitate China's dress style in North and South Song Dynasties(420-589). In the movie *Kung Fu Panda*, the robes and jackets are in Qing Dynasty's style.

(4)The food in the *Kung Fu Panda*.

Other than tea and rice, there are Mapo bean curd, steamed buns and Sichuan noodles with peppery sauce. In Po's father restaurant, there is hot pot, which makes Chinese audiences feel warm and attracts a lot of foreigners.

In terms of the implications of Chinese elements in the film, there is a big difference between Chinese culture and American culture, that is Chinese collectivism and American individualism.

Chinese films show the spirit of collectivism. Collectivism stresses that collectivity is the most important thing. For the Chinese, the spirit of collectivism is always confirmed by the public. So what is collectivism? Collectivism is a phenomenon that when a person says something or does something, he will pay the priority to his collectivity. Other people, like leaders, families, friends are just like a magnetic, and he does everything under the influence of this magnetic. The Chinese advocate that society and country's benefits are more important than the individuals', and if necessary, individuals should protect the country's benefits even if they have to sacrifice their own (Liu, 2012:6).

Another author(Ding, 2010:31:7) also wrote that in China, collectivism is the primary value. Collectivism is a preference of the society, where the individuals can depend on their families or other members' care and believe in each other.

In America, individualism is the primary value. In a broad sense, individualism refers to the fact that individual's benefits are more important than anything and all the values and rights belong to the individuals. In individualistic culture, self-awareness predominates. Competition instead of co-operation is encouraged, and entrepreneurial spirit and success are advocated. You can find many "self-"words in American dictionary, such as self-confidence, self-consciousness, self-respect, self-control, etc. This shows that the most Americans are dreaming to be self-made men.

## 2.2 The Reasons for Hollywood Adopting Chinese Elements

### 2.2.1 Globalization

In the era of global communications, different civilizations influence each other, and the boundary of culture has become ambiguous, and also begins to be rewritten constantly. Many people praise the benefits brought by globalization for the cultural diversity and convenience. With the trend of globalization, it is impossible to resist the global reading tide which invades like a flood (Zhou, 2009:45). Hollywood movies are looking for themes around the world, which demonstrates the trend of globalization. Since 1990s, Chinese stars began to occupy a place in Hollywood screen and Chinese elements also become an indispensable constituent of Hollywood movies which shows that international cultural exchanges dramatically increase (Zhou, 2009:52).

### 2.2.2 China's Developing Economy

In the 21st century, China's comprehensive national strength is increasing day by day, and international status is becoming more and more prosperous. Therefore, the Chinese film market has aroused more and more interest in the world. China has a large population with extensive film market demand, so it is a huge market for Hollywood. Regarding Hollywood, for example, "each year China only allows 20 Hollywood films to be shown to the public in theaters, so those big producers would certainly into their brains all day long ponder how to win Chinese market back. If Hollywood film makers come to China to produce films or cooperate with Chinese film executives, they can enter the Chinese market as copartners" (Zhou, 2009: 21). For this reason, shrewd Hollywood producers are more willing to join various Chinese elements in their own movies. On this phenomenon, the professor of Tsinghua University Yi Hong and domestic famous critic Wei Junzi had said that "China element" became more and more important in Hollywood because of rapid development of Chinese economy and the expansivity of Chinese population.

### 2.2.3 Hollywood

After a century of production, the western market faced a shortage of "raw material". The well-known visual technology director in Hollywood, MouHuaqi, once bluntly expressed her view that theme innovation was the biggest problem to Hollywood at the moment (Wu, 2005:2). In an interview of the famous film maker Peter Roy, he said that because of exhausted movie resources and anxiety brought by aesthetic fatigue of audience, Hollywood urgently needed world themes to broaden their cultural influence and profitability. In fact, Hollywood has worked on exploring themes about Chinese legend (Wu, 2004:5). The director MouHuaqi also said that China had abundant themes, lots of talents and low cost, and those would attract international film capital flow to China. So Hollywood has focused on China and the splendid Chinese civilization. Chinese elements have become a magic weapon for Holly-

wood films to attract Chinese audience, and Hollywood is getting better at using it.

Some definitions of Chinese elements were analysed. A brief review of the reasons for Hollywood adopting Chinese elements was conducted. The second review of what elements were used and how these elements were used was conducted. The findings were summarized and synthesized, and recommendations were made. Therefore, this thesis will place focus on categorizing and analyzing Chinese elements in the movie.

Three questions to be addressed in this paper include the following:

Q1: What Chinese elements are interwoven into the film *Kung Fu Panda*?

Q2: How do these elements adorn the film?

Q3: Other than the elements discussed in the review, what Chinese elements are used in this movie?

### 3 Findings and Discussion

#### 3.1 Some Findings Based on the Content of the Movie

From the literature review, the use of color, animals, dresses and food in the movie *Mulan and Kung Fu Panda* is discussed. In my study, the color, animals, dresses, and food will be re-discussed, and some other Chinese elements such as buildings and kung fu will be analysed as well.

##### Color

From the beginning of the movie, Po's dreams are all depicted by traditional Chinese paintings with mixed colors of red, yellow and white. All these colors make us feel familiar with Chinese traditional culture.

##### Animals

The movie *Mulan* uses dragon commonly. Dragon is a traditional animal of China. And in the movie *Kung Fu Panda*, choosing a panda as the protagonist can achieve a similar effect. The figures of the animal are also in Chinese painting style. Panda is the representative of China, and other animals are common in the Chinese myths and idioms. Residents keep pigs and rabbits as their pets. The pig represents the rich and the rabbit represents common people items. Such animals give the Chinese audiences a strong sense of national pride, and they also make the Chinese culture more mysterious.

##### Dress

People's general impressions about warrior are hat and cloak. Po's father, wearing a double-breasted outfit with Po in his hand, is a traditional Chinese type. The turtle wears something like kasaya, which represents the image of the superior monks in shaolin temple. These dresses mould typical Chinese images.

##### Food

The food in the film are traditional Chinese snacks like dumplings, noodles, bean curd, etc. These traditional Chinese food implicates great Chinese culture, and makes



the movie more attractive.

Some findings that are not mentioned, in the literature review, such as kung fu, buildings and musical instruments, are also worth discussing.

### **Kung fu**

We may see from the title, the most prominent Chinese culture element in this play is the Chinese kung fu, extinguishing candles, and Chinese qigong. Dragon, snake, tiger, leopard, cranes these five elements in Chinese boxing, together with mantis boxing are very common in martial arts. Chinese kung fu makes the movie wonderful enough to attract foreigners.

### **Building**

Po's house is a typical Chinese-style buildings, with wooden hollow-out window, yellow tile roof, and wooden stairs. The hall of the dragon temple, just like the Forbidden City, especially the totem pole. The carved dragon on the roof is the traditional image of the Chinese dragon which always appears in royal architecture or costumes. The temple at the top of the mountain and the ornamental archway of the mountainside are typical Chinese images. The Chinese style give a new image of Hollywood movies, not the always gothic style buildings.

### **Musical Instruments**

The musical instruments in the film are flute, Chinese drum, erhu and others. All these instruments are new and fresh to western audiences, so they arouse audiences' interest.

## **3.2 An Important Finding Based on the Implications**

In the literature review, some reviews about Chinese collectivism and American individualism are presented. Now some findings about this conflict in the movie will be discussed.

### **Individualism vs. Collectivism**

The film reflects the conflict of cultural values between western individualism and eastern collectivism. Panda violates his father's desire to pursue his dream of the samurai, which violate the filial piety in the Confucianism, that is a child's obedience to his father. Some values such as pursuing freedom and realization of self-worth, and that everyone can become a hero had appeared throughout the play.

The individualism and collectivism reflect two different cultural value trends. Collectivism is the core of Chinese culture, and it stresses that people are dependent on each other and the importance of collectivity. The collectivists argue that the collectivity's benefits are more important than the individuals', and the individuals must obey the collectivity. America's individualism, on the contrary, contends that individuals should realize personal purposes and dreams, and that individuals' benefits are more important than collectivity's. In the movie *Kung Fu Panda*, many heroes make their mind to defeat the enemies in order to protect the citizens. Although the enemies are difficult to be defeated, the heroes attack them bitterly, which manifests



the collectivity well.

Po is the real hero who has defeated the enemy, and he presents a lot of characteristics of individualism. When he first hears that he would fight with his enemies who are hard to defeat, Po runs away quickly because of scare. However, when he gets the secret of kung fu, he builds his confidence again and finally defeats the enemy. He saves his master and the whole world. We can see from the movie that the eternal theme of Hollywood movies is individualism, which is shown in Po's image.

What's more, a combination of individualism and collectivity is shown in family life. In China, the family members believe in each other. Our family provides us with material and spiritual support, and often gives the priority to the status of people. In China's traditional families, children should respect parents' decisions, and shoulder the responsibility of taking care of family members. The American families advocate self-decision and self-dependence. Po dreams to learn kung fu and to become a master of kung fu. However his father wants him to be a cook. Chinese traditional culture argued that children must obey their parents, so Po dares not to turn down his father at first. Although Po knows his father would get angry, he still cries out that he loves kung fu and leaves his home to pursue his personal dream, which is the typical characteristic of individualism.

### 3.3 The Answers of the Three Questions

So answers of the two questions are stated:

Q1: There are lot of Chinese elements used in the movie *Kung Fu Panda*, such as color, building, and animal. The most important comparison is Chinese collectivism and American individualism.

Q2: The different cultures between China and America make the use of Chinese elements in Hollywood movie very successful. Chinese red and yellow makes the whole movie a festival one. The movie is full of Chinese ancient feeling showed by Chinese style buildings. Chinese collectivism and American individualism are well presented by Po. The conflict between American culture and Chinese culture makes the movie so wonderful that it attracts so many audiences.

Q3: Besides some elements such as animals, color, food and dresses, some other elements are used in the movie *Kung Fu Panda*, like buildings, kung fu, musical instruments. Among them, kung fu is the core Chinese element used in the movie which wins a high office box.

## 4 Conclusion

The movie *Kung Fu Panda* has a great impact on Chinese audiences and filmdom, and the use of Chinese elements in Hollywood movies becomes a hot topic. There are groups of people studying this topic now.

Hollywood, as an important medium for the cultural exchange, enhances the

communication between countries. Therefore, the use of Chinese elements in Hollywood has sped up the development of cross-cultural communication. There are three reasons of the use of Chinese elements in Hollywood movies. First is the process of globalization. The second reason is China's developing economy. On the one hand, a nation's status is represented by its economy. As China's economy is so well developed that China's status is raised too. More and more eyesight are focused China not on its economy but also its culture. So here is a trend for more and more foreigners to know Chinese culture and to learn it. On the other hand, China also needs an opportunity to spread its culture. The third reason is the Hollywood itself. A filmdom can never be developed if there is no creation. Therefore, the use of Chinese elements is also a creation of Hollywood to attract more audiences and to improve itself.

The appearance of *Kung Fu Panda* meets the demand of the audiences today. Everyone has a dream of being a hero, especially a small potato. The success of Po, who is the representative of this kind of people, has cried out their pain. His imperfect living condition and image has interiorized, which infuses the modern people with new hope and vitality.

Through analyzing the content of the movie, some findings can be obtained. The colors throughout the whole movie are red and yellow. These are all Chinese style colors which make the movie filled with joyous feelings. These Chinese animals like dragons and lions are strange to the westerners at first. After watching this movie, they have a clear understanding of them. The core element in the movie is Chinese kung fu and it is also one of the selling points. Po's kung fu is so skilled that attracts so many audiences. The westerners are interested in Chinese kung fu since a long time ago, and in the movie, the audiences could enjoy the Chinese kung fu. The Chinese buildings are totally different from the west. They are traditional ones like temples which have different lookings from the west, and these places are always peaceful with some special meaning. Po's house is a typical Chinese-style building, with wooden hollow-out window, yellow tile roof, and wooden stairs. All these show Chinese ancient building well.

The most obvious comparison in this movie is the Chinese individualism and American collectivism. Po ignored his father's desire to be a samurai, which violates the filial piety in the Confucianism, that is a child's obedience to his father. However in America, everyone ought to pursue his own dream. Individualism is always goes ahead collectivism. In this movie, there is a conflict of individualism and collectivism. Po dares not to refuse his father at first, and this is a typical Chinese image. However he finally malpractice kung fu and defeats his enemy and becomes a hero, which is a typical American image.

After all these analysis, some advices could be concluded. First, in order to make better use of Chinese, we should make sure that the integration of culture is harmonious. Second, when we are using the Chinese elements, we should be selective. Third, although Chinese culture is great, it should be used and inherited by Chinese

and the whole world but not Hollywood in most. So we should also protect our cultural heritage.

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### 【评析】

这篇题为《好莱坞电影中的中国元素》的论文, 从不同角度分析了中国元素在好莱坞电影《功夫熊猫》中的体现及其作用, 属于跨文化交际研究范畴。在第一部分, 作者首先交代了此话题研究的背景, 接着对文中涉及的重要概念——中国元素进行了定义和阐释, 并对“好莱坞”和电影《功夫熊猫》做了介绍, 让读者对整篇论文涉及的专有名词、研究

对象、研究意义有一个了解。在第二部分,作者通过借鉴其他学者对好莱坞电影中中国元素的分析,总结归纳出好莱坞电影中中国元素的具体体现,作为此文的研究基础框架,并在文献综述的基础上,提出相关的研究问题。在第三部分,作者依照通过文献综述搭建起的框架,从饮食、服饰、颜色、主人公特点、建筑等方面,对《功夫熊猫》进行了分析,并利用跨文化交际学中中美不同的价值观——个人主义和集体主义理论对电影内容进行了分析,阐述了中美元素“混搭”背后价值观的融合。在最后一段,作者在总结全文的基础上,对好莱坞电影采用中国元素的现象提出了三点建议。

总体来说,该文结构完整,重点明确,符合学术论文的基本要求。不足之处是作者对相关文献的阅读量不足,导致文献综述质量不高,而以文献综述为依据搭建起的研究框架略显单薄,易让人质疑其研究的可靠性与严密性。此外,文章部分论述显得有些牵强。语言质量有待提高。

## 6.4 英语翻译研究论文 ◀◀

翻译类论文是指利用翻译研究的理论或实践成果对语言进行分析或研究的学术论文。经过十多年英语学习,英语专业本科生对英汉语言的规律有了一定的感知,再加上至少一年的翻译类课程的学习,应该对翻译理论有初步的了解,具备初步的翻译实践经验。这些对撰写翻译研究类毕业论文非常有利。但是,感性认识与学术研究、英语学习过程中的个人体会与真正意义上的英汉翻译研究并非一回事。要撰写翻译研究方向的英语论文,我们应当对翻译研究及这类论文的选题有个概括的了解。

### 6.4.1 翻译研究

什么是“翻译研究”?首先要澄清“翻译”(translation)一词的理解。罗杰·贝尔(Roger Bell)(2001:13)曾在 *Translation and Translating: Theory and Practice* 一书中谈到 translation 有三层含义。

(1) translating 指翻译的过程,即翻译活动,而非翻译主体。例如,“请你把这篇文章翻译一下。”

(2) a translation 指翻译过程的产物,即译作。例如,“近年来,我们对西方现代派作品做了大量的翻译。”

(3) translation 是一个抽象概念,既包括具体的翻译过程,又包括翻译过程的产物,即涵盖上述二义。

在此,我们可以把翻译看成将一种语言文字所蕴含的意思用另一种语言文字表达出来的文化活动。所以,翻译研究可以简单地理解为研究译品和产生译品的过程。

作为一种跨文化交际的重要方式,翻译无论在中国还是在西方已有一两千年的历史。相关的研究人员和学者也在长期的社会实践中总结出抽象的理论、原则和方法,并引进了其他学科理论,如语言学、信息论、人类学、心理学、美学、阐释学等。现在,翻译学已成为一门独立的学科。

在对翻译进行研究时,国内外学者提出了自己的见解。有的认为翻译研究一般分为三个方面,即翻译理论、翻译技巧和翻译历史(王克非,1994;穆雷,2000);也有的认为

可以分为外语教学、理论和翻译史(谢天振, 1994)三个范畴。实质上,这两种分类基本一致,所谓外语教学范畴,主要是探究具体的翻译技巧。还有人主张从内部和外部研究翻译(柯平, 2014),内部包括理论分支(翻译活动的本质、原则和方法)和应用分支(翻译教学、译员培训资格认证等),外部研究(跨学科研究)包括媒体翻译、法律翻译、科技翻译、机器与机助翻译、翻译史与译家研究、翻译文化研究、翻译社会学、译作接受与影响研究、文学翻译研究等。英国著名翻译研究人员苏珊·巴斯内特(Susan Bassnett)在其《翻译研究》(*Translation Studies*)中除了说明翻译理论和比较分析可以影响翻译实践外,还精辟地论述了语言与文化之间的关系,进而引起了翻译研究中的一场“文化转向”(Cultural Turn)。由此可见,翻译研究作为自成一体的学科,所涉及问题异常复杂,需要探索的领域和课题非常多。

面临如此复杂的研究内容和丰富的探讨课题,英语专业本科生该从何处着手,选择什么样的内容进行翻译研究呢?

#### 6.4.2 英语专业翻译研究

结合本科教学要求以及本科生的实际情况,我们认为翻译研究方向的毕业论文首先要难易程度适宜,具有应用价值。因为大部分翻译理论研究和小部分应用性研究均有一定难度,所以本科毕业生在撰写此类毕业论文时应避免纯理论性探讨,应该以解决具体问题为主要研究目标。在任何情况下,为研究而研究都是不正确的。其次,英语专业本科毕业生在选择题目和撰写论文时,既要广泛地阅读相关文献,分析对比研究,深入挖掘和拓展研究论题,形成研究的兴趣点和切入点,还要掌握一些基础理论知识,以帮助自己分析和解释翻译现象,阐明和论证相关论点,加深对翻译本质的认识。从实用的角度来看,英语专业毕业生可以从以下几个论题着手进行翻译类的论文写作。

##### 1. 翻译的基本问题

翻译的原则与标准是翻译研究的一个基本问题,也是首要问题。任何翻译实践总要遵循一定的标准或原则,衡量一篇译文的优劣同样也离不开一定的翻译标准。然而,由于翻译活动历时悠久,从事翻译的人具备不同的社会背景与语言背景,衡量翻译的原则也不尽相同。我国翻译史上有许多记载,如玄奘佛经翻译的“五不译”原则,近代马建忠的“善译”和严复的“信、达、雅”标准,当代傅雷的“神似”论和钱钟书的“化境”说。西方也有许多有关翻译原则和标准的论述,引用最多的有英国的泰勒(Tyler)、美国的奈达(Nida)、德国的施莱尔马赫(F.Schleiermacher)等。研究翻译的原则和标准时要注意两点:一是原则和标准总是随时代的变化而改变;二是无论主张什么原则和标准,都必须同时考虑翻译目的、翻译对象和语篇类型三个因素。因此,英语专业本科生可以对不同时期的翻译原则和标准进行对比分析,找出其中的差异和变化,并以相应时期的译品作为论证依据,或对同一语篇不同时期的译本进行对比分析,寻找翻译原则和标准发展和变化的轨迹。以美国第十六届总统 Abraham Lincoln 的《底格里斯堡演说》的最后一句(that government of the people, by the people, for the people, shall not perish from the earth.)为例,可以译为:

A: 并且使这个民有、民治、民享的政府永世长存。

B: 要使这个归人民所有、由人民管理、为人民办事的政权在世上永远存在。

以“信、达、雅”的翻译标准来评判,无疑译文 A 优于译文 B,但是若以“动态对等”

的标准来评判, 结论可能就相反了, 因为当地英语的使用者对于原文中的 *of the people, by the people, for the people* 的反映是口语化、朴素, 而又贴近民众。与之“匹配”的是译文 B, 而不是译文 A。以汉语为母语者对译文 A (尤其是, “民有、民治、民享”) 的反映是书面语, 用词考究, 而又学究气十足。

可译性问题是翻译研究的另一个中心议题。在翻译过程中, 面临译入语中不存在的名词术语, 或者是有的语言中没有时态以及“性”、“数”、“格”的语法范畴, 就会给译者提出了不可译问题。英国语言学家卡特福特 (Catford) 据其产生的原因将不可译性依划分为两类: 语言的和文化的。前者如一词多义 (polysemy) 或词语与语法的“同形异构” (shared exponence), 如 *bank* 可以指“银行”, 也可指“河岸”, 因此当这个词进入词义双关的语境时, 在目的语中就可能造成不可译。后者如英语中的“家”, 有时用 *home*, 有时用 *house*, 有时用 *hearth*, 不同的词有不同的概念、含义或联想义, 将它们译成汉语, 都存在不可译的成分。只要语言是一种文化中的基本构成模式的系统, 文化的不可译性就必定存在于任何翻译过程中。英语专业的学生在学习过程中经常有“只可意会, 不可言传”的经历, 这也是不可译性的一种表象形式。所以, 沿着这个思路, 再辅以熟悉又有说服力的实例加以论证, 毕业生完全有可能进行不可译性的研究。研究不可译性的途径有很多, 如探讨原文内容在译文中的丢失与译文对原文内容的增添。对不可译性的类别和层次分析也是一个有待挖掘的话题, 如术语类、话题类以及概念系统类不可译性, 词语层、句子层以及语篇层不可译性, 还有社会以及宗教文化的不可译性等都是意义重大的翻译研究。当然, 我们还可以从不可译性与语言的共性辩证关系出发, 来探讨翻译中不可译性的转化方法。

## 2. 翻译方法与技巧

翻译方法与技巧是翻译研究的一个最基本课题。这种研究主要涉及语言层面的实践操作, 是对翻译转换现象的语言学描写和功能分析, 包括转换的条件、限制、规律、类别以及习惯等因素。转换技巧可能发生在语篇翻译的整个过程中, 往往与等值概念紧密相关。

翻译技巧研究可能是最适合英语专业本科生的研究选题, 因为其研究范围可大可小, 研究层次可深可浅, 也最能结合自己的学习实际, 发挥余地大。研究翻译技巧的论题应该集中在一个方向上, 如“英语介词的译法”、“英语书名的译法”、“典故的译法”、“习语的译法”、“隐喻的译法”、“科技术语的译法”、“学术论文标题的译法”等。一般来说, 这类题目容易操作, 只需寻找足量的例证, 然后分门别类, 通过分析比较, 从中归纳出可行的处理方法即可。其中要注意的是, 例证必须切合所论述的观点。若自己提供例证译文, 必须准确无误, 最好借用权威人士的译文和评论。

另一种适合英语专业本科生翻译技巧研究的选题, 就是在英汉或汉英翻译教材内容上的拓展, 如“转译”、“增减”、“分合”、“正反译”、“英语长句的翻译”、“定语的翻译”、“状语的翻译”、“英语被动语态句的翻译”、“数量的翻译”等。这里所说的拓展, 不是仅仅指列举和篇幅的扩展, 更重要的是应在总结和归纳已有内容的基础上加深、加宽, 至少要有一两点新的、独到的发现。研究可以结合原语与译语异同的表现及理据分析, 也可以从语用和社会文化因素的比较, 探讨特殊结构的翻译处理。总之, 翻译技巧与方法研究是关于外语的理解和母语的表达方面的内容。

### 3. 翻译与文化

语言作为文化的组成部分,既是文化的一种表象形式,又是一种社会文化现象。因此,对于以语言转换为基础的翻译工作来说,文化传达就成了一个重要的主题。美国翻译理论家尤金·奈达指出:“翻译是两种文化之间的交流。对于真正成功的翻译而言,熟悉两种文化甚至比掌握两种语言更重要。因为词语只有在其作用的文化背景中才有意义。”这说明翻译研究与文化研究密不可分。离开文化背景去翻译,不可能达到两种语言之间的真正交流。例如,在莎士比亚的《哈姆雷特》一剧的第二幕中,新王问哈姆雷特:“我的儿子(son),你为什么躲在阴影(shadow)里?”哈姆雷特用了一个双关语来回答“too much sun”。这里的 sun 与 son 同音,是一种含沙射影的讽刺,讽刺哈姆雷特的叔父篡夺王权,又假意亲热。在翻译时,对该棘手的问题,最多只能用注释来告诉读者原文的巧妙又完整的含义表达,原语的睿智用心则在直接译文中出现空缺。

如果说翻译是以一种语言再现另一种语言的信息,那么这里的“信息”就理应包括文化信息。可以从某种角度上说,翻译是一种文化解释,是将一种文化的内容转化为让另一种文化可以理解的内容的解释。因此,在翻译中如何处理好语言的文化特质,就成了译者颇感头疼的难题,在很大程度上也就成了译品成功与否的关键所在。

从语言与文化的关系出发探讨翻译,有许多问题可以作为英语专业本科生的毕业论文论题。研究翻译过程中的语言与文化的关系,就是研究影响翻译的文化因素。换句话说,这类研究就是从分析文化差异的角度去研究文化对翻译过程、译者、译本以及目标读者的影响,如“翻译中的文化因素”、“文化因素与翻译技巧”、“翻译中如何保存原语的文化信息”、“习语翻译中的文化信息保存”、“文学翻译中保持地方色彩的重要性”等。撰写这类论文有两个要求:一是敏感的文化差异意识;二是宽广的百科知识面。否则,文章难以达到令人满意的研究深度。

### 4. 翻译史与主体的研究

无论是在中国还是在全世界,翻译都具有悠久的历史。因此,研究翻译的历史理应成为翻译研究的重要组成部分。翻译史研究的范围,除了考察重点人物和重点译著外,要充分重视翻译理论发展的脉络,还要充分重视中外文化尤其是翻译观念的相互影响。最好横向有中外比较,纵向有古今比较,这样对读者会有很大的启迪作用。此外,还应进行翻译家专题研究。另外,还有一些值得关注与研究的方面,如研究从古到今中国的翻译机构、翻译组织、翻译教学是如何演变发展的、翻译家队伍的构成有什么变化、翻译实践与翻译理论的发展与国际译学界的发展有什么联系,等等。翻译史研究还可分为世界翻译史研究、中国翻译史研究以及民族翻译史研究。此外,还有中国翻译史断代研究、中国佛经翻译史研究、中国文学翻译史研究、中国科技翻译史研究等。在研究方法上,应该注意“有史有论”,即不仅要比较全面详尽地占有史料,而且要对史料进行比较充分的分析。

译者也是影响翻译的一个主要因素。在传统翻译理论中,无论是“文学派”还是“语言学派”,长期以来都是将目光集中在对翻译过程的结果——译文与原文的对比研究上,一味强调原文不可动摇的统治地位,认为译者的翻译活动及译文的标准要以原文为准绳,而忽视了翻译活动本身以及翻译活动主体,如果从现代译论的观点来讨论翻译过程中的译者行为,会发现译者真正翻译的是他个人所接受、理解的原文。在翻译过程中,译者的主观因素(所处的文化传统、社会环境、个人经历、背景知识语言能力,乃至译者的立场、



道德因素等非语言性因素)不可避免地影响着译者的翻译方式及译文面貌。比如,同一部《红楼梦》,经学家看见淫,才子看见宫闱蜜事。在翻译过程中,译者是翻译活动的主体,他是原文的接受者及诠释、演绎者,又是译文的创作者,他的行为是能动的、有目的的。因此,对翻译的主体进行研究十分必要。翻译的主体研究主要探讨译者的主体和主体性问题。尤其是近些年受“读者中心论”的影响,翻译研究者非常重视译者的主体与主体性的探讨。做这类研究时,可以把中外某一著名的翻译家作为研究对象,阐述他的翻译思想,评析他的翻译作品,通过介绍他在翻译活动中所具备的良好素质和表现出的主观能动性,彰显其翻译活动对社会文化发展所做的贡献,这种研究有利于译者地位和翻译地位的提高。同时,还可以将不同时期的译家进行对比研究,从历史变迁的角度来阐述自己所持有的某种翻译观点。

选择翻译史或翻译主体作为研究方向的英语专业本科生,必须具有一定的历史学背景,酷爱历史学并具有强烈的历史研究兴趣。此外,还要拥有一定的历史资料,最好是第一手资料。就实际操作而言,可以通过细致的分析和比较,研究各个历史时期及其代表人物之间的联系,从而得出具有一定学术价值的结论。还可以从上述人物中选出一个或两个,专门研究其译著或译论及其历史作用。

### 5. 翻译批评与译本研究

翻译理论必须来源于翻译实践、指导翻译实践并接受翻译实践的检验。翻译批评的内容就是研究翻译理论与翻译实践之间的关系运作情况,而对现存译本的研究则是翻译批评的重要组成部分。尽管不少人在这方面做过研究,但这些研究远远不够。以前对译本的批评研究基于传统的二元对立思想,往往认为正确的翻译只有一个,不正确的翻译就是错误的翻译,不好的译本就是坏译本。产生翻译批评欠客观的原因还可能是:评价译本时没有同时考虑翻译的目的、译本的读者对象、语篇的类型,以及接受译本的社会背景等多种因素。

翻译批评的研究内容除了对译本的评价之外,还包括翻译批评标准的创建,如文学翻译批评与实用文体翻译批评应有不同的标准来参照;翻译批评途径的探索,如参与翻译批评对话者应具有历史的、开放的与自省的精神;翻译批评基本概念、基本原则、主客体与参照系的建立,等等。

最适合英语专业本科生进行翻译批评研究的选题当然是译本对比研究。但进行译本对比研究必须注意如下三点。

(1) 用来对比的译本必须有两种或两种以上,且具有可比性。当然既可以是不同译者的译本,又可以是同一译者在不同时期的译本。《浮生六记》的各种语言的译本很多,不过常见的英译本有三个,分别是林语堂(1936)翻译的 *Six Chapters of a Floating Life*, 雪莉·布莱克(Shirely M. Black)翻译的 *Chapters from a Floating Life: The Autobiography of a Chinese Artist* (1960), 以及白伦、江素惠(Pratt, Leonard; Su-Hui, Chiang) (1983)翻译的 *Six Records of a Floating Life*。

(2) 对比或比较要有明确的目的,而这个目的就是论文的论点。如果是为了比较而比较,这样的议题意义是不大的。一般来说,进行译本研究的目的就是要论证作者在翻译方面所持的某种观点。还以《浮生六记》译本对比为例,如果从典籍英译对弘扬中华文化意义的角度出发,对比的目的可以是归化和异化是互补的翻译策略;如果从篇章的特征(如互文性、衔接与连贯)来对比,就要对比不同译者的译入语语言能力和素养差异。

(3) 论证论点必须有理有据, 摆出来的事实和讲出来的道理必须令人信服, 除了引用名家的注释和评论之外, 还应根据翻译的某种理论、原则和标准来进行, 否则译本研究就失去了它的理论基础。

总之, 进行译本对比研究不是件容易的事情, 既要有扎实的语言功底, 又要有较高的文化素养, 还必须掌握一定的翻译理论知识。

## 6. 英汉对比与翻译研究

翻译过程是语际转换过程。在转换过程中, 双语对比在自觉、不自觉地进行着。通过对比, 不仅能认识英汉语之间的差异, 掌握话语转换的规律, 加深对两种语言的认识; 还可以进一步探讨语言差异带来的翻译问题, 以及解决与处理问题的办法。根据这些认识, 我们可以从翻译的角度, 对英汉两种语言在句子结构、词语搭配和词义乃至两种语言所体现的文化等方面的异同, 做出较系统的归纳, 从而提高英汉或汉英翻译能力, 在翻译交际活动中充分表达源语的不同层次的意义。

从英汉比较的角度来研究翻译问题, 主要是比较英汉语的“对应关系”——一对一、一对零、一对二(或更多)的关系。在进行具体研究时, 可以选取一个具体问题作为议题。例如, 就主语与主题而言, 英语是注重主语的语言。它的基本句型有 SV、SVC、SVO、SVOiOd、SVOC 五种, 每一种都离不开主语和谓语。这就是说, 英语是通过主语—谓语的句型结构进行描写的, 造句离不开主语。汉语是注重主题的语言, 是一种经常把句首成分看成话题加以评论的句型, 话题(或主题)在语法上不一定充当主语。因此, 在英汉翻译时, 应充分考虑汉语句子的特征, 将英语句子的主语进行灵活处理。其他的一些题目, 如“英汉定语的对比与翻译”、“英汉衔接手段的比较与翻译”、“中英习语比较与翻译”、“英汉使役动词的比较与翻译”、“英汉隐喻对比与翻译”、“形合意合的英汉对比与翻译”等, 都是英语专业本科生毕业论文的可行选题。

撰写以英汉对比为基础的翻译研究类论文, 特别值得指出的是: 对比较或对比的结论以及归纳出来的翻译方法或技巧, 要持客观和辩证的观点, 因为语言研究属于社会科学, 与自然科学不同, 其结论一般都有局限性, 必须指出其可接受检验的范围。还应注意, 做此类研究时, 必须以具体问题为前提, 在收集与举证时, 以充分的语料为基础, 要注意举例是否合适并能说明问题, 这样得出的结论才有见地和意义。

### 6.4.3 结语

在本节中, 我们就翻译一词的理解进行了讨论, 然后从选题的角度谈了英语专业的毕业生翻译类论文的分类, 以期给学生一点指导。

当然, 从技术操作的层面来看, 在选题时一定要从一开始就结合自己的实际情况, 题目及内容是自己所感兴趣的, 难度要适合自己的水平; 同时要及时地询问指导老师, 帮助自己做进一步的鉴别工作。

从翻译类论文写作的特点来看, 要注意四个方面的基本问题。

(1) 要重视翻译实践的作用。在翻译理论研究中, 必须以大量的翻译实践案例或翻译经验为基础。在论文写作前, 要认真研究译本的内容; 在引证和举例时, 要以正式译本(已发表的译文或译著)的内容为依据。

(2) 要养成两种语言对比的习惯。英汉语言对比大体可以从语音对比、词汇对比、词法对比、句法对比、篇章对比等几个方面进行。

(3) 要重视文化因素在翻译中的作用。翻译是一种跨文化交际手段。英汉文化在各个方面都存在差异,若缺乏其中任何一方面的文化背景知识,都会给翻译研究带来困难和负面影响。

(4) 要辩证地看问题。翻译中的许多问题都是长期争论不休的问题,要善于从各家观点中汲取合理的成分,取长补短。用公正客观的态度看待国外翻译家所建立的理论。

#### 【论文点评】

## THE ANALYSIS OF CONVERSION IN THE TRANSLATION OF *DREAMS* BY ZHANG PEIJI

### Abstract

After reading *Selected Modern Chinese Essays*, Professor Zhang Peiji's conversion in prose translation leaves me a deep impression. His excellent command of both Chinese and English makes this possible. The focus of this thesis is on an analysis of the conversion device employed in the *Dreams* in *Selected Modern Chinese Essays*.

This thesis consists of five chapters. The first chapter is a general introduction, which discusses the research background, significance and the layout of the thesis. Chapter two serves as the literature review, covering previous studies on conversion in China. Chapter three gives a brief overview of the theory of shifts which is presented by Catford. Chapter four gives a detailed analysis on conversion in *Selected Modern Chinese Prose Writings* from the changes of part of speech. Chapter five is the conclusion for the whole thesis.

**Keywords:** Zhang Peiji; conversion; prose translation; class-shift; John C. Catford

### 1 Introduction

It has been a long time for human to do translating activity. Translation is the process to change a kind of language into another kind of language. It is said that translating is a complex, challenging yet fascinating task. Different people in different languages has different thinking pattern. Therefore, there will be different habits in using language. Our predecessors left us many materials on translations as well as translated works for appreciation, learning and analysis. For each translator, it is an effective way to improve their level in translating by appreciating, comparing and analyzing the translated works of predecessors. In comparing the translated versions with its original works, we find that conversion, one of the translating skills, is widely used in translating process. Especially in prose translating, it can nearly be found in each translated prose work.



## 1.1 Research Background

Prose is an essential literary genre among fiction, drama and poetry. During the long history of several thousand years, prose plays a critical role in the development of literary works both in China and western countries. During the Warring States Period, Qu Yuan has finished his famous prose *Lisao*. Then in Eastern Tsin Dynasty, Chinese famous prose writer Tao Yuanming has presented his well-known prose *Peach-Blossom Spring*. In Modern China, Zhu Ziqing's prose *The Sight of Father's Back* is also read by a large number of people. Therefore, China has a long history in prose. Recently, prose translation has become very popular because of some typical features, such as its beautiful language and free style. "Free" is one of the typical features. Prose has a variety of rhyme and takes similar patterns of everyday sentences. The word "prose" comes from the Latin word "prosa", meaning straightforward. Prose writing is usually based on the facts that the writer has seen or the true life the writer has experienced, expressing the writer's thoughts or attitude adopted for the description of facts or the discussion of whatever one's thoughts are, incorporated in free flowing speech (Lu Yi, 2012). Many people are attracted in this straightforward content of writer's true life and thoughts so that they produce a large number of translating works.

Although the number of these works is large, most of them are based on the E-C translation. There are fewer translators devoted themselves to transmitting Chinese culture to other countries in the world. According to this case, Zhang Peiji has begun to take part in translating the famous Chinese modern essays. He did his utmost in C-E translation career for more than fifty years. His working has made great contribution to Chinese translation cause. He has finished a lot of famous works, among which the series of *Selected Modern Chinese Prose Writings* has gained great reputation. Some scholars draw much attention to the excellent translation skills in Zhang's work by choosing different research directions. In these researches, few people pay their attention to analyzing this book from conversion, an important translation skill which Catford has ever emphasized.

This thesis will try to explore conversion skills in Zhang's translation work *Dreams* to find out the function of this skill in prose translating.

## 1.2 Significance of the Research

As mentioned above, China boasts a long history in prose writings. Nevertheless, the essay translation lags far behind. The reason for choosing *Selected Modern Chinese Prose Writings* by Zhang Peiji is based on its high quality and great influence. *Selected Modern Chinese Essays* is not edited to be a teaching material. Many universities have set his books compulsively for students to read and teachers in university often prepare their example from his books as well. As a result, Zhang Peiji has been well known among English major students. In addition to Zhang Peiji's work, Zhang has a rich working experience in C-E translating. He had taken positions as the

reporter of *The Shanghai Herald*, contributing editor of *The China Critic* in English language; subeditor of the English edition of *China Year Book*; English translator of the *International Prosecution Section* (IPS) under the International Military Tribunal for the Far East in Tokyo; an editor and translator for four years in the Foreign Languages Press, Beijing. There is no doubt that he has spared no effort on C-E translation above which we have mentioned. As a result, it's also good to choose his translation to study and analyze.

In *Selected Modern Chinese Prose Writings*, Zhang Peiji contains many famous and wonderful Chinese proeses. The reason for choosing *Dreams* by Ba Jin is mainly because Ba Jin is a famous proser in China and this work contains writer's true feeling. *Dreams* was written on August 3<sup>rd</sup>, 1948. It is a graceful essay that was written to recall the memory of Ba Jin's father, who had passed away for almost 25 years. Ba Jin is a famous modern writer, publisher and translator in China. He is regarded as one of the most influential writers during the New Culture Movement. His work contains amount of beautiful and meaningful words which cause the difficulty in translation. Therefore, researches on this prose will be good for improving the translation skills.

### 1.3 Layout of the Paper

This thesis consists of five chapters. The first chapter is a general introduction, which discusses the research background, significance and the layout of the thesis. Chapter two serves as the literature review, covering previous studies on conversion in China. Chapter three gives a brief overview of the theory of shifts which is presented by Catford. Chapter four gives a detailed analysis on conversion in *Selected Modern Chinese Prose Writings* from the changes of part of speech. It will analyze the conversion from the changing of part of speech from verb to noun, preposition, adjectives and adverbs. Chapter five is the conclusion for the whole thesis.

## 2 Literature Review

### 2.1 Previous Studies on Conversion

Since John C. Catford's shift theory was introduced to China, he didn't become as famous as Nida. But it can't prevent people from studying conversion. Because of the syntactical differences between Chinese and English, it is usually impossible for a translator to keep to the original part of speech in the process of translation. As a matter of fact, a word belonging to a certain part of speech in one language sometimes has to be converted into a different part of speech, so as to bring forth a readable and coherent sentence. Nevertheless, scholars haven't given up studying conversion. In research, both Guo Ying(2011) and Ye Haiye (2005:60) mention the benefits of using conversion in C-E translation. Zhang Yu states in his article that conversion is a good way to change the hard original sentences into a simple and understandable sentences(2010:123). Catford presents class-shifts which is similar to the definition of



conversion. In terms of modern English lexicology, conversion contains using a form that represents one part of speech as another part of speech without changing the form of the word. His shift theory proves that conversion is important in translation.

## 2.2 Previous Studies on Zhang Peiji and *Selected Modern Chinese Prose Writings*

Since the publication of *Selected Modern Chinese Prose Writings*, some translators and scholars have taken great interest in the series, thus many studies have been carried out from different perspectives.

As Prof. Zhang states in the preface, “I have a fancy for prose translation for three reasons, namely, pastime, interest, and introducing some excellent modern Chinese prose writing to the outside” (2009:III). There is no wonder that Prof. Zhang has insisted on prose translation for nearly 45 years. His rich experience in prose translation promotes his success in *Selected Modern Chinese Prose Writings*. Since then, as mentioned above, many scholars have got engaged in studies of Prof. Zhang and his prose translation works. Zhu Manhua, a scholar from Capital University of Economics and Business, interviewed Prof. Zhang and then commends Prof. Zhang for his proper using translation skills which are displayed in modern Chinese prose translation. She considers that, “the book is not only a good textbook, but also can provide abundant and vivid examples for scholars to do research on translation theories and skills” (2000:61). In the article *The Translation and Using of Adverb in Zhang Peiji's C-E Prose Translation*, Yang Fangfang (2010:72) focused on the adverb's translating and using in prose translation. She states in her article that the using of adverb in Prof. Zhang's translation follows the principle of fluency, clearness, context and likeness. Yu Yuanling issues that Prof. Zhang's use of small and accurate words can maintain the stylistic features of prose writings (2004:96). She commends that Prof. Zhang can use less big words but express the main meaning of the article clearly.

Above all, Prof. Zhang's modern prose translation has been studied in different aspects. In this essay, the author will tend to study Prof. Zhang's work from conversion in Catford's shift theory,

## 3 John C. Catford and Shift Theory

### 3.1 A Brief Introduction of John C. Catford

John C. Catford is a famous linguist and translation theorist in England. He is one of the present people in the London School. He was born in Edinburgh in 1917 and graduated from Edinburgh University. His famous work in translation field is *A Linguistic Theory of Translation* (1965). This book has been included in the language and language learning books at Oxford University. In this book, Catford introduces his translation theory, translation shifts which analyze language as communication, operating functionally in context and on a range of different levels and ranks.

### 3.2 The Conception of Shift Theory

In Catford's book, he explains that shift means departures from formal correspondence in the process of going from the SL to TL. Two major types of "shift" occur: level shifts and category shifts (1978:73). Level shifts are the source language units at a level having the translation equivalents ingredients in a different language levels. In other words, level shifts are the mutual conversion between the syntactical level and the lexical level. For example, in English, there exist the present perfect tense and past perfect tense. But in Chinese, both of these two tenses can be translated into "着", "了", "过". Category shifts is the detachment of the formal correspondence in the process of translation. It is divided into four parts, structure-shift, class-shift, unit-shift and intra-system shift.

Structure-shift means the change of language structure. For example, the sentence structure in one language is "subject + predicate + adverbial modifier". But in another language, the sentence structure will change into "predicate + subject + adverbial modifier".

Class-shift occurs when the translation equivalent of a SL item is a member of a different class from the original item. It means we need to use conversion to keep the translation equivalent. For example, in English sentence, "... and that government of the people, by the people, for the people...", the preposition "of", "by", "for" will be translated into verb "有", "治", "享".

Unit-shift means changes of rank that the translation equivalent of a unit at one rank in the SL is a unit at a different rank in the TL. For example, in an original sentence a prepositional phrase will be translated into a sentence to keep equivalent.

Intra-system shift belongs to class-shift and unit shift. It occurs when the structure of two languages are nearly the same, some words will be used in translation. For example, in English, the word "you" will be translated into "你" or "你们" in Chinese.

In English, when language maps experience in the most straightforward or congruent way, nouns represent things, adjectives the properties of things, verbs realize states and processes, adverb the properties of processes, and preposition the relationships between things (1977:79). Nevertheless, it is not the using rules of Chinese. In Chinese, it is fuzzy among verbs, nouns and adjectives. Pan Wenguo also agrees that Chinese and English have different habits in using words. He says, "Theoretically, in English, verb looks like the center of a sentence, but in fact, noun has the dominant. In opposite way, in Chinese, noun looks like center of a sentence, but in fact belongs to verb"(1997:379). It proves that conversion is a necessary translation skill.

## 4 Analysis of Conversion in *Dreams*

In the translation of *Dreams*, Prof. Zhang uses amount of conversion translation

skills to keep the translation equivalent, which means the readers of target language can experience the same understanding and appreciation with the readers of original language.

#### 4.1 Conversion of Verb into Noun

Chinese is a dynamic language which is fond of using lots of verbs in sentences. In one sentence, it often contains several verbs. These verbs are regarded as different components in its sentence. But English is a static language. Verbs are regarded as predicate in the sentences. Verbs can be used as other components in a sentence by adding affixes or changing the form of words. Stative language can obviously embody using less verbs and other forms of words to show actions. In the sentences “He was a nonsmoker and a teetotaler” and “他既不抽烟也不喝酒”, the difference between dynamic language and static language is obvious. In the English sentence, there is only one verb “was”. In the Chinese sentence, there are two verbs “抽烟” and “喝酒”. Although they have different numbers of verbs, they have the same meaning.

In order to deal with these two different languages, people often converse verbs into nouns.

##### Example 1

Original: 心里安慰地想。

Zhang's translation: I inwardly consoled myself with the thought that father was still hale and hearty.

In the original sentence, the word “想” is a verb. Zhang translates this word into a noun “thought”. This is another kind of class-shift. The verb “think” emphasizes more on the action of thinking, but the noun “thought” emphasizes more on the content of thinking. Nouns represent things. And things can be related to picture in seconds which can be easily remembered. In the original sentence, it stresses on the things of thinking that father was still alive with a strong and healthy body. Therefore, the noun “thought” is more suitable for this sentence. This translation of this sentence corresponds to the correct meaning of original sentence, but also picks up the best expression.

Therefore, conversion can help readers to catch the main idea of the sentence much easily. In this prose, Prof. Zhang also translates the verb “回应” into noun “response” to reach the same function to emphasis that the stress of the sentence is response. The writer hopes that his father can response something, even a word, to him so that he can ensure that his father is still alive.

##### Example 2

Original: 我想不到我在很短的时间以后就会失去你。

Zhang's translation: I did not have the slightest inkling that you together with everything else would in a moment vanish out of sight.

Conversion is used in the second example to translate the Chinese word “想”. Zhang translates the verb “想” into noun “inkling”. Inkling means a slight knowledge



of something that is happening or about to happen. The original word “想” also means that the writer hasn’t got any precognition with his father’s sudden death. Inkling can clearly express the writer’s intention which is hidden in the words.

Expressing writer’s intention is also an advantage of conversion. In psycholinguistics, after the words have changed their part of speech, the meaning of words is still the same, but the effects on readers’ psychology are different. Readers can reach empathy.

#### 4.2 Conversion of Verb into Preposition

Chinese has dynamic narrative features so that verbs are frequently used. While English has a static narrative features so that nouns are frequently used. In the Chinese-English translation, many verbs need to be converted into prepositions to reach equivalent in that verbs are less favored in English than in Chinese. These verbs, which will be changed into preposition, represent many actions.

##### Example 1

Original: 但是从两扇开着的小窗，慢慢地透进来灰白色的亮光，使我的眼睛看见了这个空阔的房间。

Zhang’s translation: A grayish light, nevertheless, edged in through two small windows to enable me to see the spacious room.

In this sentence, the verb “透” is translated into preposition “through”. English is a language which will widely use preposition in writing and speaking (Zhang, 2010). In English, many prepositions have a strong direction of action. Therefore, Prof. Zhang uses the word “through” to replace the verb “透”. Preposition can represent the action in English.

In other words, conversion of verb and preposition is much suitable for English thinking pattern and using habits. The example below can also show this function.

##### Example 2

Original: 它慢慢地走过了 25 年。

Zhang’s translation: It had been on its slow journey for 25 years.

In this sentence, Zhang uses the preposition “on” to represent the action of walking, and also makes the prose to be translated in simple words.

#### 4.3 Conversion of Verb into Adjective or Adverb

Chinese has dynamic narrative features and English has a static narrative features. In order to convert so many verbs into one predicate verb, verbs are often changed into adjectives or adverbs which will have the same meaning.

##### Example 1

Original: 我应该感谢梦。

Zhang’s translation: I should be thankful to my dreams.

In this sentence, Zhang translates the verb “感谢” into adjective “thankful”. In English, adjectives are often used to express a state of mind like consciousness, feeling and desire. In the original sentence, “感谢” is a word to show people’s feeling of

thankfulness. Therefore, it will be much suitable to translate the verb into adjective “thankful”.

This translation feels like that the sentence doesn't contain any human's moods inside. People can feel nothing but silent in the prose. But “thankful” can make a good and friendly atmosphere, people can feel comfortable in this sentence.

### Example 2

Original: 我变成 25 年前的孩子了。

Zhang's translation: I was again the small kid of 25 years before.

In the original sentence, “变成” means that one thing turns to another thing. But Zhang translates it into adverb “again”. In English, adverbs represent the properties of processes. In order to keep the translation equivalent and let readers enjoy their reading, we need to translate the prose in their thinking pattern. Thus, using adverb “again” is much better.

## 5 Conclusion

In conclusion, this paper presents the necessity of conversion based on analyzing conversion in Prof. Zhang's modern Chinese prose translation, *Dreams*.

Chinese prose is much different from English prose. In the past, there was even one view that Chinese prose cannot be translated into English. As the time flies, an opposite voice comes out that Chinese prose has its value to be translated in that it is the mirror of Chinese literature. Prof. Zhang is one member in this voice. He used his work to prove that Chinese essay can be translated.

His prose translating strictly follows the translating standard: faithfulness, expressiveness and elegance. He uses many different translating techniques to finish his prose translating. His successful works give us a model to study.

In the fourth chapter, the author chooses to analyze the conversion in Zhang's work, *Dreams*. In this part, through the analyzing of the conversion, it can be easily found that conversion can help translator to make a good translation. It can change the translation to suit western thinking pattern, can make the translation easier for readers to understand its deep content, can change complicated translation into a simple one and can leave readers much more interest to continue reading.

Conversion can help so much in translating, but why does conversion exist in translation? The answer is that these two languages contain different thinking pattern and different culture. If we want our translation to be enjoyed by others, we need to use this translation skill to create the highlights in our translating.

In prose translation, conversion can help to maintain stylistic features of the essay, can give readers a chance to draw a related picture in their minds, can make reader reach empathy and can change the translation to be suitable for its readers. Therefore, conversion can help translator a lot in the process of translation. It will create highlights for the translation and leave people a deep impression. But, can conversion be used in every situation? When is conversion suitable to use? How to

distinguish the correct situation of using conversion? Maybe these questions will be researched sooner or later.

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### 【评析】

该论文研究的目的是强调在翻译实践中要重视“词类转换”技巧的使用。论文依据 Catford 的 *A Linguistic Theory of Translation* (1965) 一书中所提出的转换理论, 然后结合英汉语各自的语言特征, 提出词类转换是英汉翻译中必不可少的一种技巧。在具体分析该技巧时, 又引用中国当代著名翻译家张培基的《英译中国现代散文选》中《梦》里的典型译文进行了详细的分析。论文有理有据, 分析透彻。不失为一篇好的本科毕业论文。当然, 本文也有不足之处。例如, 虽然选题具有较大实用价值, 切入点也较为新颖, 但从文后参考文献看, 已有同类研究, 并非作者独创。

## 6.5 英语教学研究论文 ◀◀

### 6.5.1 英语教学与英语教学法

许多英语专业的学生会选择撰写与英语教学相关的毕业论文。在撰写毕业论文之前, 学生先要明确英语教学与英语教学法的概念以及关系, 这是进行教学研究论文写作的基础。概括地说, 英语教学指的是英语语言的教与学。对英语教学的性质, 一些学者提出了许多见解。桂诗春(2000)认为, 英语教学是一个动态的过程, 而“这个过程”本身“是由许多因素组成的, 这些因素相互影响, 互为补充, 这些因素包括政策、方针、目标, 学生, 教学运作过程(教学大纲, 教学计划, 多媒体教具), 教师以及测试与评估等。”英语教学与英语教学法的关系在于英语教学法是对英语教学的研究(何广铿, 2011)。对于教学法

的内涵,不同学者从不同角度进行了阐述。布朗(Brown, 2002)对教学法进行了总的概括,认为“从大体上讲,教学法是对教学实践的研究(包括理论基础以及相关研究)”。而在毕业论文写作这个情境下,哈默(Harmer, 2007)对教学法的阐释更为全面与细致。哈默(Harmer)认为,教学法涉及流派、方法、技术以及程序,而这些方面在英语教学实践中也涉及。“流派指的是关于语言的本身以及语言学习的相关理论,而方法指的是流派的实现”(Harmer, 2007)。技术则指的是教师为达到教学效果运用的教学手段。所谓程序则是指“技术的排序(Harmer, 2007)”。

### 6.5.2 选题范围

对英语教学以及英语教学法的概念有了基本的理解后,学生需要了解英语教学方向都可以选择哪些内容来撰写论文,进而选定自己的论文题目。下面将从关于英语学习者、英语教师,以及课程的选题这三个方面来说明英语教学论文可研究的内容以及可选择的题目范围。而这三个方面也是对英语教学的全面概括(文秋芳,韩少杰,2011)。

#### 1. 与英语学习者相关的论文选题

英语学习者是英语教学的直接参与者。因此,英语教学研究的方向之一就是与英语学习者相关的内容。由于英语专业本科生本身也是英语学习者,因此,这方面的内容对他们来说较为熟悉。如果选择与英语学习者相关的论文题目,学生通常较为容易找到写作材料。此外,基于撰写论文时可利用的资源,学生若选择此方向来进行论文写作,收集数据也相对容易。研究英语学习者可以从两个方面着手进行。一个方面是从不同英语学习者之间的差异着手,如:研究不同学习者的年龄、学习策略、学习风格、情感因素等;另一个方面是从英语学习者的学习情况着手,如:研究学习者语言学习的过程以及效果。

就研究学习者个体差异而言,学生可以有多种选题方向。例如:学生从英语学习者年龄差异着手,可以探讨年龄差异与学习能力的关系,也可以讨论年龄差异与某一项英语知识学习的关系,如:年龄对英语词汇学习的影响等。除了年龄差异,研究学习策略差异也是一个不错的切入点。对于学习策略的界定,不同学者给出了不同的答案。钱莫特(Chamot, 1987)认为“学习策略是为实现学习以及回忆语言形式和内容更为容易而采用的技巧、方法或有目的的行动”。奥斯科特(Oxford, 1989)则将语言策略概括为“学习者为使学习更有效、更加自主、更加愉悦而采取的行为或行动”。而鲁斌(Rubin, 1987)认为“策略有助于学习者自我建构语言系统,并且能够直接影响学习”。可以看到这些学者对于学习策略的概括的共同之处在于:策略的发出者均是语言学习者,实施策略的最终目标是提升学习效果与效率。对于学习策略的划分,当前受到较多关注的有两种。一种是奥玛利和钱莫特(O'Malley 和 Chamot, 1990)的分类方法。他们将学习策略分为三大类,即元认知策略,认知策略以及社会/情感策略。元认知策略指的是使用认知过程的有关知识,采用计划、监控和评估的方式对语言学习进行掌控,其中元认知策略又包含八种策略。认知策略指的是“在解决问题的过程中所采取的行为,包括对学习资料的直接分析、转换和综合”(Rubin, 1987)。认知策略又包括重复策略在内的其他十五种策略。而社会/情感策略指的是语言学习者选择的与其他学习者或母语人士交流的方式。这一策略包括另外两种策略,其一是合作策略,其二是为澄清而提问的策略。除这一种分类方法外,奥斯科特(Oxford, 1990)也提供了一种分类方法。他认为学习策略包括直接策略和间接策略。直接策略又分为记忆、

认知和补偿策略。而间接策略又分为元认知策略、情感策略和社会策略。学生若选择此方向来进行论文写作,可以选取其中一种分类方法作为理论基础,探讨不同类型学习者的学习策略的差异。例如,以某种英语考试为例,探讨取得不同成绩的学生使用学习策略的差异。也可以将学习策略与语言知识或语言技能的学习结合起来,探究两者之间的关系,比如调查英语专业学生语法学习策略等。

除学习策略外,学生还可以选择与学习风格相关的论文题目。与学习策略相似,不同的学者对于学习风格也有不同的见解。这里提供两种学习风格的分类。吉弗(Keefee, 1979)将学习风格分为三类:认知风格、情感风格、生理风格。每一种风格又由若干要素组成。威林(Willing, 1987)提出将学习风格分为四种类型:具体型学习者、分析型学习者、交际型学习者、崇尚权威型学习者。若打算从学习风格入手进行论文写作,可以选取其中一种模型作为理论基础进行深入探究。可以采用问卷的方式对某一群体的学生学习风格进行调查,从而概括出他们在学习风格上的一些趋势,或将学习风格与成绩或性别相联系,探究不同学习程度的学生在学习风格方面的差异或同一群体内男学生与女学生学习风格的差异。

除学习策略与学习风格外,还可以从情感因素的角度出发(如学习动机、学习态度等)选择论文题目。加德纳和兰伯特(Gardner 和 Lambert, 1972)把学习动机分为两类:工具型和融合型。工具型学习者是把外语当成工具来学,用这个工具来查找资料,找工作以及改善自己的社会地位。融合型学习者是与目标语的社团内的人进行交流,了解他们的文化,甚至融合成为他们中的一员。若选择此方面的论题,可以以此作为基础进行探究并结合实际的学生群体进行研究。例如,探讨非英语专业学生英语学习动机或者学习动机对英语学习的影响等。除上述有关学习者差异的相关研究外,学生也可以选择语能、自主学习等方向作为选题进行研究。

就研究英语学习者学习情况而言,学生可以选择研究英语学习过程或者英语学习结果。对于英语学习过程,学生可以探究语言知识学习的过程,如语音、语法、词汇等的学习过程;也可以探究英语技巧获得的过程,如听、说、读、写的习得过程。学生也可以进行其他方面的研究,如分析大学生英语学习过程中汉语对英语的正迁移作用,可以以一个学校为例进行案例研究。研究的时间可根据自己的实际情况进行选择,可以是几十分钟、几小时或几周。对于英语学习结果而言,学生可以从语言、情感、认知等方面选题,如学生可以探究某校英语专业大三与大四学生词汇量的差异。

## 2. 与英语课程相关的论文选题

对于与英语课程相关的论文,学生可以选择对教学方法、课程内容、课程评价方法进行研究。课程内容的研究包括对教材内容的分析,对不同教材形成的不同课堂效果的探讨,以及对课程大纲的相关研究等。关于课程评价方法的选题涉及课程考核的合理性、有效性等相关研究,可选内容有初中英语教学评价的现状与对策、测试对大学生英语学习的影响等。这两方面对很多学生来说需要的研究资源相对较多,因此,撰写这两方面毕业论文的学生相对较少。与教学方法相关的论文是学生们常选择的一类题目。下面将主要围绕这一类选题进行分析。教学方法涵盖多个方面,以下主要从四个方面进行解读,即英语教学法、英语学习理论、英语技能的教学以及英语知识的教学。

英语教学法存在多个流派,20世纪使用较为广泛的方法包括口语法、情景法、听说法,

其他非传统教学法包括全语言法、多元智能法、神经语言程序法、词汇法、能力导向型教学法(Richards 和 Rogers, 2001)。当前的交际法流派包括交际法、自然法、合作学习法、内容型教学法、任务型教学法(Richards 和 Rogers, 2001)。这里将以交际法和任务型教学法这两个学生常选的内容为例来讨论学生可以选择哪些选题。交际法蕴含的语言观:语言是用来交际的,它将人们的注意力引向语言的功能。交际法强调语言学习的重点不仅仅是语法结构,更重要的是如何灵活地使用语言结构和知识来恰当地表达意思,实现交流的目的。交际法中,学生通过各式各样的交际活动来学习语言,如角色扮演、模仿等。教师则为学生的学习提供便利,回答学生的问题,指导他们在真实情景下进行交际等。有关交际法方向的论文,学生可以有多种选择。可选内容有交际法对英语教学的影响等。如果学生具有到中小学校实习的经历,学生也可以探究交际法在初中英语口语教学中的应用,或者探讨交际法是如何引入到课堂中的。学生也可以进行实验研究,例如探讨交际法对高中英语听、说、读、写成绩的影响。

任务型教学法强调任务是语言教学的关键。学生学习语言的过程就是完成多项任务的过程。学生并不单独学习语言结构等知识,而是在完成任务的过程中通过解决问题来学得相关知识。不同的学者对于任务的定义不一,任务被分为多种形式。而教师的角色是多重,是指导者、组织者,也是反馈者。关于任务教学的模式,威利斯(Willis)和努南(Nunan)提供了两个不同版本。威利斯(Willis, 1996)将任务分为三个阶段:任务前阶段(介绍任务)、任务中阶段(完成任务、计划以及汇报)、聚焦语言阶段。努南(Nunan, 2004)将任务划分为六个阶段:图式的建立、控制性练习、真实性听力练习、聚焦语言成分、灵活练习、教学任务引入。学生可以以此作为理论基础,进行深入研究,可选择范围包括任务型教学法与初中英语教学、任务型教学法在初中阅读课中的应用等。在研究过程中,学生可以进行案例研究,也可以结合自己可找到的资源进行更大范围的研究。学生也可以在理论框架下研究任务型教学法是如何引入到英语课堂中的,再分析一下相关方法引入存在的问题并提出自己的见解。

此外,学生也可以选取英语学习理论方面的相关内容进行论文写作。第二语言习得理论包含很多方面的内容,如对比分析、错误分析、中介语、克拉申(Krashen)的二语习得理论、维果茨基(Vygotsky)的社会文化理论等。这里选择学生较为熟悉的克拉申的二语习得理论作为例子对这一方向的论文题目进行解读。克拉申的二语习得理论中很重要的一个组成部分就是五大假设(Krashen, 1982)。这五大假设分别是学习与习得假设、监控假设、自然顺序假设、输入假设、情感过滤假设。学生可以选择其中一个假设作为切入点进行研究。以输入假设为例,可以从理论指导实践的角度进行分析,可选内容包括输入假设在大学英语课堂中的应用、输入假设在英语阅读中的应用。学生也可以进行实验研究,如探讨输入假设与词汇习得的关系。作为研究的一部分,可以选取一些测试者,对这些测试者按照输入假设的相关要求进行培训,然后对他们进行多次词汇测试,分析输入假设是否对测试者的词汇学习具有帮助作用。

除上述两个方面外,学生还可以从英语技能以及英语知识教学这两方面对教学方法进行研究。具体来说,学生对英语技能教学的研究可以包括探究英语听力、口语、阅读、写作的教学方法;学生对英语知识教学的研究可以包括探究英语词汇、语音、语法的教学方法。围绕如何提高语言学习者某项英语技能或英语知识,学生可以有多种选题,如选取一定数量的学生探究如何提高大学生英语听力水平,或者分析小学英语语音教学现状,探讨

如何提高高中生英语口语能力等；围绕某项英语技能中的一个因素与这一技能的关系，学生可以做英语阅读中推理能力的调查，也可以围绕某项英语技能与英语能力的直接关系进行探究，例如学生可以分析英语语法与阅读理解之间的关系。

### 3. 与英语教师相关的论文选题

英语教师是英语教学活动的重要组织者和指导者。因此，关于英语教师的研究也是教学研究的一个重要组成部分。关于教师的研究内容可以包括教师素质、课堂决策、课堂话语、课堂肢体语言，以及教师的专业发展等多方面。学生可以分析小学英语教师职业成长历程，探讨教师成长的周期以及动力；也可以研究教师话语，收集最受欢迎教师的讲课资料，分析并总结受学生欢迎的教师常用话语；还可以分析教师体态语对英语课堂学习的影响等。对于教师的研究可以采用采访、观察等多种方式。由于学生可进行的与教师相关的教学研究相对较少且选择的人数也相对较少，因此，在这里不多进行讨论。

### 6.5.3 英语教学研究方法

学生在为自己的毕业论文开始进行相关研究之前，首先应当明确自己打算进行哪种研究，如何设计研究，样本怎样选择，数据怎样收集以及分析。下面将从以下这几个方面对教学类研究的相关方法进行解读。

#### 1. 研究类型

教学法方向的研究按照“研究目的”不同，可以分为“基础理论研究和应用性研究”。按照研究的数据来源不同，又可以分为“文献研究和实证研究”（文秋芳，俞洪亮，周维杰，2004）。基础理论研究围绕理论展开，研究的目的在于推出新的理论或对原有理论进行验证。例如，学生在高中英语课堂开展一项输入假设在高中听力教学中的验证研究，这项研究旨在验证已有的输入假设是否在高中听力课堂这个情境下适用，这样的研究可以算作基础理论研究。所谓应用性研究指的是研究的目的在于为教学中出现的问题提供一些解决措施、启示或指导建议。例如，学生开展一项针对大学英语阅读教学有效性的研究。研究的目的在于了解当前阅读教学存在的问题，并为以后的阅读教学提供一定的建议。这种对教学指导有直接现实意义的研究就可以称为应用性研究。

文献研究和实证研究区分的关键在于研究的数据是否为第一手资料。文献研究又称为图书馆内研究，即对已发表的文章、著作以及收集的数据进行再研究。数据的来源并非作者获得的第一手资料。而实证研究则是将作者从实践或别人的经历以及现实情况中收集得到的数据应用到研究中去。例如，研究者通过对英语教师的采访了解教师对任务型教学法的看法所收集到的数据就是第一手资料，这样的研究称为实证研究。

#### 2. 研究设计

所谓确定研究设计即明确研究的模式是定量研究、定性研究，还是混合式研究。刘润清（1999）对定性和定量的方法进行了区分。首先，二者的哲学基础不同，定性研究“强调人的主观作用，认为外部世界的规律性是主观意识的反映”；定量研究“强调世界万物的因果关系，认为事物发展变化的规律是客观存在的”。其次，定量研究会在研究开始时预先提出假设，然后通过研究对假设进行验证。而定性研究则相反，预先不提出假设，最后通过研究形成假设。因此，在定量研究中，研究问题在研究开始时是明确的；而在定性研究中，研究问题会随着研究的不断深入而具体化（Malhotra, 1993）。再次，在定量研

究中,研究者对现象的研究经常需要增加变量,进行试验研究。而定性研究通常不需要操作变量。另外,在定量研究中,研究者通常不参与到现象本身中去,较为客观;而在定性研究中,研究人员可以参与到其中进行观察、体会和研究。因此,定量研究收集到的数据信度较高;而定性研究收集到的数据效度较高。在论文撰写这个情境下,定量研究通常适用于处理较大的样本(Malhotra, 1993),如学生想要调查自己就读学校学生词汇量的情况,不妨采用定量研究中的数据统计的方法,一方面,收集到的数据较为客观;另一方面,可以花费较少的时间收集到较多的数据。而定性研究则通常适用于处理较小的样本(Malhotra, 1993),且研究的题目倾向于对人的主观看法的探求。最后,定量研究所得结论具有较为广泛的应用性(Malhotra, 1993),而其劣势在于对外语教学环节中某些现象研究的条件控制很难实现(刘润清, 1999)。而定性研究所得结论虽具有探索性但是适用范围较小,而且主观性相对较强(Malhotra, 1993)。

所谓混合式研究,即在同一个研究内既包括定量研究又包括定性研究。不同的学者对于混合式研究设计有不同的解读。这里解读三种常见的混合式研究设计(Creswell 和 Clark, 2011)。

(1) 多面型研究设计。这种设计同时使用定量以及定性的数据收集方法,并将两部分数据分别分析,最后将数据进行整合得出结论。这种设计的目的在于对所研究的题目有更全面的认识,定性研究的数据用来证实定量研究的数据。

(2) 解释型研究设计。这种设计在第一阶段进行定量数据统计与分析,得出重要结论为第二阶段的定性研究提供材料。在第一阶段的数据收集以及分析结束后,第二阶段的定性数据的收集以及分析开始。第二阶段研究是对第一阶段所得结果的解释与说明。

(3) 探索型研究设计。这种设计在第一阶段使用定性数据的收集和分析方法对于现象本身进行发掘和探索。在第一阶段的数据收集和分析结束后,第二阶段的数据收集和分析开始。第二阶段的定量数据和分析是对第一阶段所得结果的测试与衡量。

### 3. 数据收集

学生在确定了研究设计的类型后,需要明确所选数据的范围以及数据收集的方法。就前者而言,需要确定样本大小和抽样方法。样本大小的确定和抽样方法根据所要研究的内容来定。此外,学生在抽样的同时也要考虑自己可利用的资源,即可接触到的样本大小。教学法方向研究的抽样方法通常有两种:随机抽样与非随机抽样(Cohen、Manion 和 Morrison, 2007)。这两种抽样方法的差别在于调查总体中的每个个体是否都有同等被抽中的可能。随机抽样通常适用于总体数量较大的情况,所选样本要具有代表性,推出的结论适用的范围相对较大(Cohen、Manion 和 Morrison, 2007)。随机抽样的方法包括单纯随机抽样、系统抽样、分层抽样、整群抽样等。相对而言,整群抽样的误差较小,分层抽样的误差较大。非随机抽样主要适用于个案研究,要求对某一类目标群体进行深入研究,选取的样本通常仅能代表较小范围之内的个体。非随机抽样的方法包括方便抽样、配额抽样、滚雪球抽样等。由于学生在做相关研究时通常可利用的资源相对较少,因此方便抽样经常被选为抽样方法,即选择最容易获取的个体作为样本。

在选择好样本后,学生需要进行数据的收集工作。常见的数据收集方法包括问卷调查、采访、实验、观察等。问卷调查根据发放方式不同可以分为网上问卷调查、人员问卷调查、邮寄式问卷调查等。问卷调查的问题也是多种多样,如单选题、多选题、填空题、开放性



试题等。问卷调查操作较为简便,特别是在研究者需要对较多个体同时进行研究时,可以作为学生收集数据的重要备选方法,如在学生想要了解某级学生英语词汇学习策略时可以考虑使用问卷调查的方式进行。此外,调查问卷可以给被访者较充分的时间考虑回答,较为人性化(Flower, 2009)。另外,许多调查问卷会让被访者以匿名的形式填写,因此,一些真实的数据可能会被收集到(Robson, 2002)。而调查问卷也会存在一定的问题,如回收率相对较低,在对主观性相对较强的问题的进行探究时往往效果不佳。采访是另一种数据收集的方式。采访根据组织形式的不同可以分为结构式采访、半结构式采访、无结构式采访。结构式采访,顾名思义,在采访时按照固定的模式以及问题进行。半结构式访问则一半按照固定模式,一半根据采访的实践情况进行临时调整,或增加问题或改变一定的形式等;而无结构式采访则无固定模式。采访,特别是半结构式或无结构式采访具有较强的灵活性,随着采访的深入,采访者可以增加一些问题进行深入探讨。并且采访可以较为深入地挖掘被访者的主观看法。例如,想要探究英语专业本科生的学习态度,可以考虑使用采访的方法进行研究。而采访法的缺陷在于主观性较强,会在一定程度上影响数据的准确性。实验法则常应用于探究型、验证型、相关性研究。观察法则操作较为简便,收集的数据较为生动,但主观性强且耗时长。

#### 4. 数据分析

在收集好数据后,学生需要进行数据分析。收集到的数据通常可以分为两类:一类为定量数据,另一类为定性数据。定量数据通常为可以用数字表示出来的数据,如调查问卷中对选择题进行统计而获得的数据。而定性数据常以文本形式呈现,如通过观察法和访谈法收集到的文本数据。分析定量数据,学生可以使用 SPSS 数据统计软件,也可以使用 Excel 表格进行统计。例如,若想反映数据集中趋势,可以通过计算数据的平均数、中位数、众数进行分析;若想反映数据分散程度,可以通过计算数据的极差、标准差的方式进行(邹申, 2007)。此外,定量数据也可以用频数,即出现的次数进行分析。如果将 SPSS 数据统计与 Excel 表格数据统计进行对比,SPSS 数据统计软件数据处理功能更加全面,且处理大型数据更加方便。对于定性数据分析,总的来说,可以分为以下几个步骤:找出定性数据,对数据进行编码,找出共性与特性,进行归纳和总结并得出结论。然而,不同的定性数据分析方法也存在一定差异。常见的定性数据分析方法有内容分析法(Cohen、Manion 和 Morrison, 2007)、持续比较法(Glaser, 1965)。与前者相比,后者操作起来相对更加容易一些。持续比较法可遵循的步骤如下(Maykut 和 Morehouse, 1994):首先,将定性数据编码并分类,并对意义单元进行分析;其次,对之前的分类进行修正;再次,分析不同类别直接存在的相关性;最后,对定性数据分析的结果进行汇报。

#### 6.5.4 结语

总的来说,撰写教学方向毕业论文,学生既要从自己的兴趣出发,选择自己感兴趣的内容进行写作,也要从自己的实际情况出发,选择自己能够撰写的内容进行写作。所谓实际情况是指自己的实际研究能力以及可以利用的相关资源。如果学生对教学方向研究感兴趣,对教学研究的方法比较了解并且能够为研究收集到有效的数据,那么,教学方向毕业论文就是一个不错的选择。这类选题虽有较大难度,但是具有较高的指导意义。此外,就教学研究的几种方法而言,定量研究与定性研究是最常见的一种。在这类论文中,图表的运用较为广泛。后面的范文中就使用了表格进行定量数据分析,学生可以作为参考,结合

自己的研究，确定适合的图表样式。

### 【论文点评】

## THE IMPACT OF LEARNING METHODS ON ENGLISH LISTENING COMPREHENSION

### —— A CASE STUDY IN GENG DAN INSTITUTE

#### Abstract

Listening may be one of the most essential language skills in English learning. In order to improve students' listening comprehension, more teachers have begun to emphasize listening teaching, find students' obstacles, and explore new approaches to help students enhance their listening competence.

This paper focuses on the impact of learning methods on English listening and tries to study the factors that hinder students' English listening competence so as to find out the learning approaches that affect listening as well as provide students with possible suggestions about how to improve their listening competence. In addition, a case study was used to provide evidence with questionnaire data analysis. The results revealed that learning methods could affect listening, and offered some effective suggestions to improve students' learning methods. Therefore, emphasizing on learning methods is of great significance in students' listening learning and their English competence.

**Keywords:** listening competence; learning methods; personal experience; attitude

## I. Introduction

### A. Background

In language learning, listening plays a very important role and it is also possibly the most essential language skill (Oxford, 1993). It acts as an input tool to let us accept messages, absorb them and output by our own (O'Malley & Chamot 1990). Listening is the first mode for children to acquire knowledge and develop their imagination in the process of learning. In addition, listening is obviously an active cognitive process in which listeners summarize messages from aural information. Early studies on language learning and listening are discussed by O'Malley and Chamot (1990), Oxford (1993), Rubin and Thompson (1994). Rost (1994) also conducted that if we want to be successful listeners, a range of effective approaches must be needed. Since 1970s, research about second language comprehension has been shifted from teachers' teaching to students' learning. Many foreign researchers began to put their emphasis on studying learning approaches.

Though much research has been done on listening learning, a number of studies failed. In fact, the fundamental reason of such failure is learning approaches of students, which affect their understanding and comprehension. In recent years, many researchers have begun to research the factors that influence on listening learning based on the previous significant research and opinion. Students' learning approaches, in particular, are one of the most important factors that may probably be a successful aspect for learners to improve their listening (Bacon, 1992). According to a large number of research, researchers have observed that an accurate learning approach has a critical effect on English listening learning (Vandergrift, 1999).

## **B. Purposes and Structures**

### **1. Purposes of This Study**

The importance of this research is to help students clarify their setbacks of listening learning approaches, find the factors which affect their listening learning, and it will also provide suggestions to students about how to develop good approaches to improve listening competence. In China, it really needs to emphasize and enhance the importance of learning approaches in English listening comprehension.

Because of the important proportion of listening in CET4 and CET6, more and more people concentrate on English listening, especially for non-English major college students in China. There are many reasons that influence English listening, such as environment, teachers' teaching approaches, listening materials, gender, culture and so on, but few studies have been conducted in relation to the learning approaches for listening (Wen, 1995). Moreover, many teachers have recognized that listening competence is not for exams anymore, but for successful and smooth communication. Thus, this paper attempts to find out what learning approaches students use, how learning approaches have impact on English listening, and how to improve their English listening comprehension along with the following research questions:

- (1) What kinds of reasons that hinder students' English listening competence from improving?
- (2) How students' learning approaches affect their listening learning?
- (3) How to improve students' English listening competence?

### **2. The Structure of This Study**

This paper is divided into five chapters. In Chapter One, it is a brief introduction to the background and outline of this study. In Chapter Two, it is a literature review which presents the study on listening learning at home and abroad. Furthermore, it is going to show the understanding of listening comprehension and its factors which affect students' English listening competence. In Chapter Three, it contains the detailed information about methodology used in this paper. A questionnaire is used in this study. In Chapter Four, it concludes data analysis and discussion. In Chapter Five, it is a conclusion about how learning approaches affect listening learning.



## **II. Literature Review and Understanding of Listening Comprehension**

### **A. Literature Review**

Over twenty years, in order to find more effective ways to improve listening competence, many significant studies on learning approaches that affect the English listening learning have been put forward and conducted through different aspects. As to studies on abroad, Conard (1981) was one of the earliest researchers who studied the learning approaches to listening learning. And till 1990s, more studies had been concerned with the different learning approaches used by learners to test what different effects play on listening learning. Moreover, according to Thompson and Rubin (1994) , and Vandergrift (1999), these studies all enhanced the importance of listening competence in language learning. All of them made a marvelous contribution to listening learning.

Compared with studies constructed abroad, research in China also has a few findings. Since TOFEL was first drawn into China, listening has just begun to deserve attention to English teaching. Wen (1995) leaded a case study on learning approaches that learners used in listening learning. Later, in 2003, there are only seven typical studies on listening learning approaches in China. Those studies all investigated some problems and challenges that students may confront in listening learning from different types of colleges. However, because of many actual factors, research findings investigated by Chinese researchers are quite different from Western countries. Hence, it would appear that more critical studies are needed to be made to investigate the importance of learning approaches in listening comprehension, especially for non-English major college students.

### **B. The Definition of Listening Comprehension**

Actually, listening competence develops a comprehensive skill or ability to understand what people say. Joan Morley (1991:88) defines listening as “everything that impinges on the human processing which medicates between sound and the construction of meaning”. Furthermore, Vandergrift (1999) stated that listening is anything but a passive activity. Listening is an active and complex process in which the listeners must identify vocabularies, grammatical structures, stress as well as intonation, which require learners to gather these elements together, and interpret them with proper sociocultural context of utterance.

### **C. The Importance of Listening Competence**

At the beginning stage, among four language skills, listening may be the most definitive one for language learning (Vandergrift, 1999). Vandergrift clearly commented that listening should be the focus of language learning and better listening comprehension has its definitively important function. It is suggested that if a child (beginner) has never heard anything, he will never talk. If he has never heard it, it

would be difficult to read it aloud. Listening to new vocabularies in the contexts are better than studying them in the words list. Moreover, Vandergrift's research (1999) presented that adults usually spend almost 40-50 percent of communication time on listening, 25-30 percent on speaking, 11-16 percent on reading and 9 percent on writing. Therefore, listening may be the most important one in the four language skills (listening, speaking, reading and writing) contributing to the understanding of the contexts. Because of this, listening comprehension is probably one of the most significant competences in language learning.

#### **D. Factors that Affect Students' English Listening Competence**

##### **1. Learning Methods**

###### *a. Time that Learners Spend on Listening*

Paying how much time on listening learning is very important, which is just the same as spending how much energy on studying English. As an English saying goes: "No gains without pains". Ye (2009) had conducted a survey that about 21 percent students spend more than 4 hours per week, 32 percent students spend 2-4 hours per week, but nearly half of students spend less than 2 hours a week to practice listening. Through investigation, Ye (2009) confirmed that learning time is a significant factor on listening learning. Thus, if they spend more time on learning listening, it will improve their English listening achievement.

###### *b. Materials' Usage*

Materials may act as a guide to our listening practice, so that choosing better materials directly affect the quality of listening (Liu, 2003). According to this, what we listen should be real and communicative, which will be beneficial for students to hear and distinguish the different contexts in message. As we can see, nowadays, most of listening textbooks, such as New Concept English, have concentrated on listening in real context. Besides textbooks, there are also many other learning materials, for example, audio material on tape, CD or video. Harmer (2007) used films to stimulate students' vocabulary learning with useful information. Different listening textbooks have different contents, for instance, massive fresh words, complex sentence structures, speech intonation, as well as stresses, which will affect the achievements of students. For these reasons, materials play a significant role in learning approaches that deserves highly attention by learners.

###### *c. Learning Methods*

Practicing listening alone or in groups may have a positive or negative effect on learners' learning approaches. Some learners like learning alone, because they prefer a quiet environment. But others believe that learning in groups can help them to supervise each other and exchange information. However, it is considered that both of them have their advantages and disadvantages. Learning in groups will help students strengthen their language learning and build up a cooperate atmosphere to improve their motivation (McDonough, 2000). Accordingly, more people gather together in a



same place directly to disturb their listening. In contrast, learning alone can guarantee the quiet environment and attention paid to the listening, but they will have less chances of communicating their experiences with other students, which is detrimental to their learning. Therefore, students had better balance their learning time and approaches, select some listening materials for classmates that can have a productive discussion, so that they can share their learning experiences of how to improve listening skills through different listening approaches.

#### *d. Grammar and Vocabulary*

Listening competence is related to vocabulary, pronunciation, grammar and other aspects. Reciting vocabularies help students comprehend the meaning of sentences, which is a key step towards listening (Zheng, 2011). As to grammar, it will help students understand the meaning of whole contents and figure out the missing parts of what they have heard (Underwood, 1989). One of the most difficulties students may confront is that they don't understand the meaning of the contexts or catch up with exact words they have heard. This is properly affected by pronunciation, which directly influences their listening. According to these factors, reciting words with accurate pronunciation and proficient grammar will be vital factors in learning listening.

## **2. Personal Learning Experiences**

### *a. English Competence and Learning Habits*

English competence may bring about effects in listening comprehension. If learners' English competences are good, it means that learners may do well in some parts including grammar, vocabulary and western sociocultural knowledge (Ye, 2009). In addition, western sociocultural knowledge which includes politics, economics, and natural science, also plays a significant part in listening (Ye, 2009; Liu, 2003). Likewise, past learning habits may play positive and negative impact on students. Thus, in order to practice listening effectively, students should take their present learning stages into consideration, adjust learning habits to their learning process and design proper plans (Underwood, 1989).

### *b. Vocabulary*

Vocabulary seems the first and most fundamental factor that should be considered (Ye, 2009; Zheng, 2011). Listening is going to understand what speakers have said, so that learning and reciting huge number of words is one of the efficient methods for students to improve listening learning (Bacon, 1992). Vocabulary is the most basic one in the knowledge of English. Every listening dialogue, text and passage consists of sentences, and the basic units of sentences are words and word phrases. During listening, we can imitate the words' pronunciation, but if we don't have enough vocabularies, we may fail to relate them together and know their true meaning (Liu, 2003). Therefore, in theory, listening comprehension depends on the quantities of vocabularies.

### 3. Personal Attitudes

#### *a. Motivation*

Different students practice English listening for different purposes. Most of them learn listening for passing examinations, future jobs, going abroad, and interests. Although the purposes are primarily different, they can stimulate students to go on studying listening (Guo, 2009). Briefly speaking, they are energetic and supportive. Teachers should realize that the importance of motivation might promote the success of listening. Anyway, during the process of choosing listening materials and creating learning atmosphere, students' motivation should be considered, so that listening will have a satisfying achievement.

#### *b. Interest*

Interest is our bodies' original ability, which is the most direct and deepest one (Chen, 2010). It is confirmed that everyone would be happy to do the work that they are interested in. Because of this, if students learn listening for interest, they will possibly succeed and have more energy to practice listening. Various listening forms always attract students and arouse their interests, such as, fresh and funny activities in terms of drama, humor, film, story, song, etc. According to investigation, it is maintained that relaxed atmosphere and interesting teaching approaches are easy for students to accept. Similarly, if teachers present these kinds of listening materials to students, students' interests will be created and their motivation will also easily be built up.

#### *c. Personality*

In the process of listening, personality plays an indirect but important role in learning, including self-esteem, anxiety and optimistic attitude (O'Malley & Chamot, 1990). From preparing listening materials to smoothly accomplishing the tasks, it may reveal students' personality. Holly (1987) pointed out that self-esteem is the result of academic achievement. Furthermore, it also conducted a study on the relationship between achievement and self-esteem, which shows that self-esteem can directly and indirectly lead to achievement. Only if learners believe themselves and have confidence to achieve goals, they could be effective listeners (Ye, 2009). That is the reason why teachers let students set their self-esteem first at the beginning of learning language. However, anxiety is also one of people's personalities. It can enhance the difficulty of listening, lower students' confidence and decrease their motivation, which may let learners fail to the listening and even give up without interests (Lou, 2011; Oxford, 1993). In addition, students carry out that the more anxious they feel, the less information they can catch. All in all, teachers should try to arouse students' interest and help them gain confidence to improve their listening competence.

### 4. Teaching Methods

#### *a. Materials' Choice*

Teachers play an essential role in choosing materials. They select materials on the

basis of students' actual performance, in order to suit students' primary needs and lower their anxiety to some content. If materials are difficult for learners to follow, they will not only lose confidence, but also develop their negative attitudes. In comparison, if teachers choose interesting and various materials, students will become active in practicing listening. When teachers choose materials, they should take students' learning stage into consideration and use them in various ways to stimulate students' interest and lead students to becoming active listeners (Harmer, 2007).

#### *b. Feedback*

Feedback is a way to test whether students have understood the knowledge that teachers have taught before. It aims at correcting students' mistakes immediately. Teachers are supervisors, so they have the responsibility to evaluate students' tasks. During the process of feedback, they'd better choose the better side to evaluate learners' works, because it will stimulate students' confidence and interest, and strengthen their learning motivation (Chen, 2010). Moreover, listening tasks should be provided to students as soon as they finish listening. If teachers fail to offer feedback immediately, students may remember fewer contents they have learnt, so that feedback will have no use (Guo, 2009). Above all, one of the most important points of feedback is to correct on time.

### **III. Methodology**

In this paper, a case study is used to support the evidence. Opie (2004) acknowledges that a case study is involved with one individual, classroom, or more organizations, schools, and a special event. Furthermore, Cohen (2007) comments that case studies prefer to provide a deep description of what the case is like in a particular situation where is related to the reality that reveals the living experiences, thoughts and feelings of participants. Oppenheim (1992) points out that case studies are considered as qualitative studies and it also includes quantitative techniques as a combination of many methods. Moreover, case studies emphasize the narrow area where provides descriptive and detailed information with subjective data.

However, a case study also has some weaknesses. One of them is that a small scale case study may affect the reality or generalization of findings (Oppenheim, 1992).

Questionnaires are a quick and relatively simple method for researchers to achieve a detailed knowledge covering all aspects of professional work (Wellington, 1996). As for questionnaires, one advantage is that it can save time, money and manpower. Another point in favor is its quantization. However, questionnaire also has some weaknesses. As Wellington (1996) has mentioned, firstly, it may present incomplete and poor answers. Secondly, it may reveal researchers' bias when they prepare the questions. Thirdly, doubts about the truth of answers may also exist.

Therefore, based on the discussion on case studies and questionnaires' above, this paper uses a case study to collect quantitative data through questionnaires from 30



freshmen who are non-English majors in Gengdan Institute of Beijing University of Technology. The questionnaires contain 25 questions that are divided into 5 categories (see appendix).

## IV. Analysis and Discussion

### A. Data Analysis

#### 1. Personal Experiences

Table-1: Quantity of vocabulary affects listening competence

	Frequency	Percent
Strongly agree	4	13
Agree	20	67
Disagree	6	20
Total	30	100

Table-2: English competence will not affect listening competence

	Frequency	Percent
Strongly agree	4	13
Agree	11	37
Disagree	11	37
Strongly disagree	4	13
Total	30	100

The data presented in Table-1 showed that personal experiences are significant for students. Almost 80% learners strongly agreed that quantity of vocabulary will definitely affect their listening practicing, which was the same as Zheng's opinion (2011) that vocabulary is the vital factor in listening learning. From Table-2, it can be seen that about half of the learners disagreed that English competence would affect their listening competence, which was different from the studies of Ye (2009) and Liu (2003) with respect to the importance of English competence in listening learning. Likewise, over a half of learners believed that their past learning habits may not affect their listening practicing, which means past learning habits can be both advantages and disadvantages.

#### 2. Personal Attitude

Table-3: Motivation is important in listening learning

	Frequency	Percent
Strongly agree	16	54
Agree	12	40
Disagree	2	6
Total	30	100

As is shown in Table-3, among 30 learners, 28 learners believed that motivation was indeed important for them during their listening learning, and motivation is essential to listening comprehension acquisition (Harmer, 2007). Furthermore, more than 80% learners believed that interest played a significant role in listening learning. This variety of results can also be found in other studies, such as Ye (2009) and Chen (2010). From the data, half of the learners believed that self-personality may not affect their listening practicing, which represented that part of them still believed personality, such as self-esteem, anxiety and optimism, would affect their learning. Also, the same studies have been done by O'Malley and Chamot. (1990).

### 3. Teaching

Table-4: Materials used by teachers affect listening

	Frequency	Percent
Strongly agree	20	67
Agree	8	27
Disagree	1	3
Strongly disagree	1	3
Total	30	100

Table-5: Correcting immediately is better

	Frequency	Percent
Strongly agree	18	60
Agree	11	37
Disagree	1	3
Total	30	100

From the Table-4, it was clearly seen that about 94% learners believed that materials used by teachers would be absolutely as a consequence of influence in listening practicing, which has been said above and researchers like Chen (2010) and Ye (2009) have found similar findings. As was shown from the data in Table-5, among 30 learners, 29 learners strongly agreed correcting the mistakes immediately was better than doing it after several days, which was also found by Guo (2009) that students should be immediately provided with the feedback on their performance of the task. In addition, although Chen (2010) has found that examination will improve learners' listening competence, there were still less than half of the students that did not agree with him.

### 4. Learning Methods

Table-6: Do not like learning alone and it is not good for studying

	Frequency	Percent
Agree	7	23
Disagree	15	50
Strongly disagree	8	27
Total	30	100

Table-7: Use various materials to practice listening

	Frequency	Percent
Strongly agree	13	43
Agree	14	47
Disagree	3	10
Total	30	100

As was noted in Table-6, more than half of the learners liked practicing listening alone and believed it was beneficial to study, but some researchers found comparatively that group learning will improve students' listening comprehension. The Table-7 revealed that 90% learners would prefer to use various materials to practice listening, for example, books, videos and films. It was verified that learners like using various materials during practicing listening, which will stimulate their learning interest (Liu, 2003).

## B. Discussion and Suggestions

Based on the brief data analysis above, a detailed discussion may provide some answers to the research questions:

### 1. Reasons that Affect Students' English Listening Learning

According to the data analysis, it is found that personal experience, attitude, learning and teaching methods can affect students' English listening. First of all, in terms of personal experience, English competence, past learning habits and quantity of vocabulary all belong to it. And most students recommend that these factors will influence listening practicing to a certain extent, especially their vocabulary and learning habits. Secondly, personal attitude, such as motivation, interest, personality, some of them receive the attention from the learners. Almost 95% learners think that motivation and interest play essential roles during listening practicing. However, nearly half of the students do not believe personality can affect their learning. Thirdly, teachers provide materials and design feedback, which are also important factors.

### 2. Students' Learning Methods that Affect Their Listening Learning

Students' learning approaches may be the most important factors that affect listening learning, including time that learners spend on listening, materials' usage, learning methods, grammar and vocabulary. Through the questionnaire data, it indicates that materials and learning methods are all considered as the key factors during students' learning period. Although most students will not particularly learn grammar for listening, they also think it is important in listening practicing. Moreover, the attention on reciting words is also regarded as the most significant part in listening learning. But learning time may not be an important factor, because half of the students believe that paying how much time to practice listening may not affect their listening competence.



### 3. Suggestions about How to Improve Students' English Listening

#### *a. The Roles of Students in Listening Learning*

Firstly, in order to improve listening competence, students should spend more time and energy learning listening and its related subjects (Underwood, 1989). If learners practice listening frequently, they may find that the more listening comprehension they do, the better ability on the other subjects of English they may also have (Liu, 2003).

Secondly, when learners have a good attitude, they need good materials and quiet environment to study with. The scientific and reasonable listening materials not only should suit students' ability, but also have various forms to attract students and stimulate their learning motivation (McDonough, 2000). Similarly, listening on the appropriate environmental conditions is also an additional term.

Thirdly, learners should recite words and pay attention to intonation and stress. Structures consist of words and word phrases, so that accurate knowing of vocabulary is what should be done before learning listening. Different words may have similar pronunciation, but their intonation and stress must be different (Lou, 2011). Accordingly, clear and exact pronunciation is very important for learners as well.

#### *b. The Roles of Teachers in Listening Learning*

On the one hand, teachers should provide more chances with students for practicing listening and do some effective feedback, such as practicing on class, more listening homework and examinations. The more listening practices learners exercise, the better listening competence they may have. Moreover, as supervisors, teachers should encourage students to communicate with each other and find their differences in learning methods to improve their performance (Wen, 1995).

On the other hand, teachers should teach good learning methods and stimulate students' interest. It is said that give a man a fish, you have fed him for today; teach a man to fish, and you have fed him for a lifetime. Furthermore, teachers need to conduct more effective activities to attract and encourage students learn English listening, such as funny movies, short stories and live audios, so that their learning will become active and have more energy (Chen, 2010).

## V. Conclusion

### A. A Brief Summary

In China, without particular language condition, learners need to practice listening harder than other fields if they want to do well. Whereas, there are various factors that affect listening learning, such as personal experience, attitude, teaching and learning methods.

In this paper, it aims at finding out what factors may affect students listening learning in China, especially learning approaches based on previous studies. Moreover,

it also provided some effective suggestions about how to improve the listening competence of learners. Furthermore, it shows that learning methods, personal attitude, experience, and teaching methods are all the factors that can influence listening learning, especially the learning methods should be paid more attention, such as learning of vocabulary and grammar, as well as usage of time and materials. This paper also uses questionnaires to collect more detailed information and provides relative productive evidence. According to the investigated data, it shows that learning methods absolutely play a significant role in listening learning, and most learning methods will directly affect listening achievement and most of them are agreed by students, such as time, materials, learning atmosphere and English competence. However, based on the data analysis, it was found that half of the students do not think English competence and their past learning habits will affect their listening comprehension, which were different from many other researchers' findings. Moreover, compared to Chen (2010), parts of students believe that examinations are not a proper way to improve their listening competence. In addition, more than half of the students prefer to practice listening alone and believe it is beneficial to their study, which is unlike to McDonough's (2000) findings.

### B. Limitations

The present paper is still at the primary and rough level. Because of the limitation of the paper's length and time, this study only investigated one class, and there was also some comprehensive knowledge that has not been covered and the analysis were just at a basic stage in listening learning. In addition, questionnaires are not complete and many questions have not been asked. In the questionnaire, there might have some false and prejudicial answers, which may affect the truth of the final results. It is hoped that this paper is just the preliminary study and more people who prefer to learn listening comprehension will be engaged in and carry on.

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## Appendix

Dear students,

I am a student in Gengdan Institute of Beijing University of Technology. At present, I am doing a survey about the impact of learning approaches on English listening in China. I would be grateful if you could answer this survey with your own opinion. All participants are anonymous and all responses are confidential. This study is only for my final dissertation. Thank you very much and your cooperation is sincerely appreciated. Instructions: Please read the following statements about the practicing listening approaches. Please use '√' to tick the answer that matches your choice.

		Strongly Agree	Agree	Disagree	Strongly Disagree
1	My English competence will not affect my English listening competence.				
2	My quantity of vocabulary affects my English listening comprehension.				

续表

		Strongly Agree	Agree	Disagree	Strongly Disagree
3	My past learning habits may affect my English listening competence in college.				
4	I think that motivation is very important during the English listening learning.				
5	I think that interest does not play a significant role in my English listening learning.				
6	My personality, such as self-esteem, anxiety and optimistic attitude, etc., will not affect English listening learning.				
7	I learn English listening because I am interested in watching films and communicating with foreigners.				
8	I practice English listening just for examinations.				
9	Teachers assign little homework to practice my listening competence.				
10	Materials used by teachers also affect my English listening.				
11	Teachers who often take exams may improve my English listening.				
12	If teachers use various approaches of listening to teach us, I will like listening learning, such as, books, videos and films.				
13	I believe that correcting immediately is better than correcting after several days.				
14	I spend a half hour learning English listening per day.				
15	I use variety of materials to learn listening, such as, books, video, and film.				
16	I do not like practicing listening alone, because it is not good for my study.				
17	I will not recite words to improve my English listening learning.				
18	I spend more time learning listening than other fields of English competence such as reading and speaking.				
19	I learn grammar especially for listening comprehension.				
20	I like learning listening in groups and I will have a good achievement.				
21	If I spend more time in learning listening, my achievement will be better.				
22	I think that materials' selection will have little influence on improving my listening learning.				
23	I think quiet environment is good for my listening learning.				
24	Words' intonation and stress are not important for listening.				
25	Relevant background knowledge, such as western socioculture and natural science, may help my English listening.				

### 【评析】

本篇论文是一篇教学研究方向的论文。论文首先提出了三个研究问题,然后从听力学习方法、听力的概念、重要性,以及影响听力的几种因素这四个方面对听力理解以及相关学习方法的国内外研究进行了回顾。然后,在前人研究的基础上,陈述了此次研究的意义、方法,并对所得数据进行了分析。论文运用了定量研究的方法进行研究。论文从三个方面分析了影响学生听力的原因,证明学习方法确实对英语听力产生影响,并且从教师和学生角度提供了提高听力的建议。论文选题具有较强的现实意义,对英语教师的听力教学以及学生的听力学习都具有一定的指导意义。研究问题明确,问题与问题之间具有一定内在逻辑联系。论文结构较为清晰,内容较为完整,论证较为充分,结论较为合理。数据的收集与分析阐述得较为详尽。语言较为通顺连贯,是一篇不错的毕业论文。以更高要求论,学生可以再引入访谈的方法,对问卷收集的数据进行三角核查。此外,在结尾部分,可以再简要论述一下未来在哪些方面可进行进一步的研究。在论文格式方面仍需要一些调整。

## 6.6 商务英语研究论文 ◀◀

商务英语研究是一个新兴的热门研究领域。国内外研究者关于商务英语的概念认识一直处在不断探讨和发展的过程中。20世纪80年代末,商务英语以“专门用途外语(外贸)”的形式出现在专业目录中。2006年,教育部批准目录外试办商务英语本科专业。2012年,教育部下发“教高[2012]9号文”,把商务英语作为“比较成熟、布点较多、稳定性好、共识度高的专业”之一列入了《基本目录》,专业代码为050262(叶兴国,2012)。商务英语从最初的ESP教学概念,发展成为应用语言学下的英语的社会功能变体(张佐成,2008),到目前作为一个专业和学科被单列出来,这一过程足以说明商务英语的热度和其作为一个学科的活跃程度和广阔发展前景。

### 6.6.1 商务英语与商务英语研究

商务英语的概念是几经周折才得以确立的。商务英语最早被称为专门用途英语,由国外学者首先提出。引入中国后,在近30年的发展过程中,在各级各类院校的专业招生目录中名称各异,有专门用途英语(外贸)、经贸英语、商贸英语、外贸英语、英语(商务方向)、英语(国际商务方向)、商务英语、国际商务交流/沟通等。在被确定为独立专业之前,国内研究者就已经提出了“商务英语/外语学科”的概念。商务英语专业的确立,是在国内英语专业复合型和应用型人才培养的大趋势和众多国内学者的呼吁下实现的,它的确立不仅厘清了之前各种五花八门的专业名称,而且为英语类专业应用型人才培养指明了道路。

作为一个学科,商务英语的研究范围应该如何界定呢?商务英语在近几年的强势发展引起了较多学者的关注和探讨。比较而言,国内研究者在“商务英语/外语”的学科建设方面有更多的研究成果,但与英语专业其他研究方向的研究相比,商务英语研究尚处在起步阶段。然而,就是这有限的文献资料已经足以给我们一定的启示。《商务英语的理论与实践研究》(张佐成,2008)用四分之一的篇幅探讨了商务英语的本体研究,分别从商务英语的理论研究、商务实践与商务语言、国际商业文化与商务语言三个方面,分三个章节探讨各类研究的发展趋势。该书提出了商务英语的语言学研究和跨文化商务交际研究的概念,指出了商务语言在商务实践中所具有的特点。《商务英语研究》(翁凤翔,2009)的第三



章专门探讨了商务英语学科的研究途径,提出了商务英语的两类研究途径,即理论研究途径和实践研究途径。该书作者认为,理论研究途径包括教育学途径、语言学途径、国际商务学途径、跨文化交际学途径、哲学途径和跨学科研究途径;实践研究途径包括比较研究途径、定性、定量研究途径、个案研究途径和实验途径。这些理论研究途径为商务英语研究的范畴界定提供了很好的启示,而这些实践研究途径更多的是对研究者的方法指导。

关于商务英语的研究方向,对外经济贸易大学的王立非(2011)等曾在《外语界》上撰文建议:商务外语可以在五个交叉领域开展跨学科研究,这五个领域是商务应用语言学、国际商务文化学、商务翻译学、跨文化商务交际学和国际商务国情学,并且简单描述了各领域可以开展的各项研究。该研究虽然使用了商务外语这个宽泛的概念,但因为商务英语是商务外语的主要语言,所以可以说第一次非常明确地为商务英语研究界定了研究范畴。次年,王立非又发表了论文《论商务外语学科及学术研究的再定位》(2012),指出商务外语学科的研究重点,即国际商务话语研究、国际商务文化研究、商务翻译研究、国际商务交际研究、外国商务国情研究,进一步为研究者指明了研究方向。值得注意的是,《商务外语研究》(2010年10月首发)设有“学科前沿理论、商务语言研究、商务教学研究、商务翻译研究、商务文化研究、商务书刊评介”(王立非,2012)等栏目,以上分类对于我们分类探讨商务英语研究都提出了重要的启示。

### 6.6.2 商务英语研究选题

商务英语研究是以商务文本、商务沟通技能、商管知识与技能以及商务活动为研究对象,以语言学理论、跨文化交际学理论以及商务规则为指导,结合语言的知识与技能而开展的交叉研究。综合以上研究,笔者认为,英语专业本科生要撰写商务英语方面的毕业论文,可以从商务英语语言研究、商务英语翻译研究、商务英语文化研究、商务英语教学研究和商务管理本体研究五个方向寻找选题。下面结合实例,简要阐述商务英语各类研究的论文选题。

#### 1. 商务英语语言研究

商务英语语言研究是商务英语研究的基础和主体。关于商务英语语言方面的研究已经被研究者升华到商务英语语言学的高度。这里,我们不想讨论其复杂的语言学体系及研究途径,仅从本科生撰写毕业论文的角度,指出英语专业学生可以从哪些方面开展商务英语的语言研究。商务英语的本体是一种具有商务语境的语言,是既具有通用英语的语言特点和规律,又体现自身语言内核特征的语体。其语言内核的特征可以表现在专有词汇的广度与深度、句法结构、语篇、语域、语体特征以及专业知识的语境和认知规律等方面(王立非,2013)。由此可见,从语言研究的角度,选题方向主要有商务英语词汇研究、商务英语句法研究、商务英语文体研究、商务英语话语分析、商务英语语篇分析等,其中以商务英语话语分析、商务英语语篇分析和商务英语文体特点与功能分析最为热门。

例如,“商务英语信函中的礼貌策略研究”、“外贸英语中解释性词语的应用”、“外贸英语信函的文体特征分析”、“委婉语在商务英语谈判中的语用功能及表达方式”、“英文表达在商务文件中的特点”、“商务谈判中的语言策略”、“报忧类商务英语信函的人际功能研究”、“商务活动中道歉策略的语用分析”、“商务英语词汇名化的语料库考察及批评分析”、“商务英语文本的多词单位分析”、“语用原则在商务英语信函写作中的运用”、“电子商务信函中的语体变异”等都是典型的商务英语语言研究选题。

商务英语语言研究选题一般要涉及三个方面的内容,即研究对象、研究视角和研究方法,三者结合才能成为一个立体的优质选题。研究对象可以是商务的词汇、话语、文本、活动中的任何一个;研究视角可以选用语言学研究的任一角度,比如上面提到的语用分析、语体变异、文体特征分析等;研究方法有很多,“商务英语词汇名化的语料库考察及批评分析”一文就是采用了语料库辅助研究的手段对商务英语词汇名化进行考察的,当然运用语料库进行语言研究对于本科生而言具有一定的难度。本科生如果能够就商务英语的某一方面,结合某种语言学理论,采用某种特定的研究方法,通过哲学的思辨和推理,进行很好的综述或得出某种略带创新的结论,就应该视之为成功的毕业论文。

## 2. 商务英语翻译研究

商务英语翻译研究是商务英语研究的热点领域。世界经济一体化进一步深化,网络经济的繁荣,跨国企业间的交往与合作日益频繁,增加了对商务英语翻译的需求,同时也促进了国内商务英语翻译研究。王立非(2012)认为,商务翻译主要研究“商务翻译的理论构建、商务翻译的规律和特点、商务翻译的经营模式和经济价值、翻译公司治理、翻译产品营销,如商务口笔译理论与实践、WTO 法律经管文献翻译、中华文化对译、翻译企业与项目管理等”。徐珺(2013)等所做的《我国商务翻译研究十年现状分析(2002—2011)》中指出,商务翻译研究在文章数量上呈现总体上升趋势;语言学、文化学视角是商务翻译研究的主流;商务英语、文化差异、翻译技巧策略、方法原则和商务合同等关键词高频次出现,构成近十年商务翻译研究的热点。在商务翻译研究方法上,以描述性研究为主,实证研究非常缺乏;商务翻译研究的理论范式以语言学范式、文化学范式、认知心理学范式和社会学范式等为主流,但尚需理论范式上跨学科性、交叉性方面的创新和突破。

商务翻译注重语义的准确性、术语的规范性和语气的贴切。翁凤翔(2013)曾提出了商务英语翻译的 4Es 标准,强调原文与译文在语义信息、文体信息、文化信息、商务功效四个方面应该对等,而且尤其强调商务功效的对等问题。商务英语翻译研究的主要内容应为商务翻译的本体,即商务英语的语言特点及语言的各个层面,如词汇、句法和文体等。以文体为例,商务合同、商务信函、广告、商标等都可以成为商务翻译研究的对象。比如,“外国企业及其商标品牌的语言特点和翻译”、“商务英语合同的语言特征及翻译原则”、“论商务合同中英语翻译的准确性问题”、“商标翻译的语用特点及其文化内涵”、“外贸英语词语的特点及翻译”、“商标中的文化因素及其翻译策略”、“商务翻译的词义理解与选择”、“英文商务合同长句的语用分析及其翻译”等都是典型的选题。

近年来,在商务英语翻译研究中,以商务文本为研究对象,运用某种翻译理论或原则,采用语言学、心理学或美学的研究视角进行研究的实例较多。比如,“从语用角度看商务翻译的礼貌性原则”、“从认知角度看商务英语翻译偏差”、“接受美学视角下的上海楼盘案名英译策略研究”、“目的论对商务翻译的启示”、“商务翻译中译者伦理的平衡统一”、“商务文体翻译虚实语义语际比较分析”、“商务英语中的隐喻及其翻译”、“语用等效原则在商务翻译中的运用”等,这类选题既有理论的依据或指导,又有科学的分析视角,研究的对象又是具有实用价值的英语素材,具有较强的现实意义和应用价值。总体而言,商务英语翻译研究中发现规律的研究远远多于说明问题的研究,研究者大多试图发现某种语言规律或现象,提出某种翻译模式,以提高商务翻译的信度和质量。

### 3. 商务英语文化研究

商务英语文化研究是商务英语的核心研究之一,具有知识性、趣味性和应用性的特点。商务英语文化研究中的“文化”是一个宽泛的概念,涵盖了国别文化、商业文化、行业文化、企业文化、跨文化商务沟通等多个方面与文化相关的内容。文化有多个层面,商务沟通更是形式多样。商务沟通可分为言语沟通和非言语沟通,书面沟通和口头沟通,内部沟通和外部沟通等。各种沟通形式都存在规则与禁忌,这些大多属于约定俗成的文化层面内容。文化对于跨文化商务沟通的影响和制约,如何利用跨文化交际学的理论促成有效的商务沟通,文化对于参与跨文化商务活动个体或集体的影响和制约,这些问题正是商务英语文化研究所常关注的内容。

商务活动往往涉及来自不同文化背景的双方,文化差异对于商务行为和商务决策具有重要的影响,所以文化是商务活动中不可或缺的元素,而商务英语文化研究也就成了商务英语研究中不可或缺的一个方面。在国外,类似于商务英语的专业(如 International Business & Languages [English]或 International Business Communication)一般仅开设三类课程,即国际商管类、语言技能类和文化认知类课程。国内的商务英语专业也很重视文化认知类课程,跨文化交际、国际商务文化、管理沟通与商务礼仪、(跨文化)商务沟通、国际商务谈判、中国传统文化、英语国家社会与文化等课程多有开设,其中跨文化交际、国际商务谈判、(跨文化)商务沟通一般都是专业必修课。开设这类课程的目的在于引导学生认识本国文化,了解他国文化,理解文化差异,预见文化冲突,减少文化误解,实现顺畅的商务沟通,或者能够应用文化知识及时进行危机公关。当然,商场上的问题绝不仅仅是文化问题,文化问题仅是商务活动中的一个重要方面。

跨文化交际学与管理学科的融合最终形成了跨文化商务沟通学。跨文化交际能力是商务英语专业学生的核心能力,由跨文化思维能力、跨文化适应能力和跨文化沟通能力组成,具体指的是具备全球意识,通晓国际惯例和中外文化和礼仪,能够按国际惯例从事各种国际商务活动,处理各种关系,能够用英语沟通和完成工作(陈准民等,2009)。庄恩平(2003)曾提出,跨文化商务沟通学是在商务管理的语境下研究解决不同文化背景的人从事商务沟通时所产生的矛盾、误解和困惑,并对不同文化与管理行为、决策、手段之间的关系做出科学解释。这些解释可以帮助解决在市场营销、广告、商务谈判、领导力、团队建设、人力资源管理等方面的跨文化问题。笔者认为,跨文化商务沟通学是商务文化研究的核心议题。跨文化商务沟通研究一般可以分为四类,即提供跨文化商务交际指南的研究、探讨何为跨文化商务交际的研究、商务交际对比研究和商务沟通语体研究。

以下所列选题均属于商务文化研究范畴,可供参考。例如,“礼貌策略在商务沟通中的应用”、“礼貌原则在国际贸易磋商环节中的运用”、“论国际经贸与商务环境下的跨文化沟通”、“论商务英语谈判中商务文化意识的体现”、“目光、手势、空间和时间的无声交流——谈跨文化商务沟通中的非语言交际”、“苹果公司用户沟通之道”、“浅析礼貌原则制约下消极信息商务信函的文体特点”、“浅析欧洲迪斯尼项目失败的原因——基于跨文化商务沟通的视角”、“倾听:有效沟通的重要途径”、“商务沟通中幽默语言的功能与作用”、“商务英语沟通中负面信息的书面表达”、“商务英语委婉语的顺应性解读”、“商务英语写作中礼貌原则的应用”、“谈商务沟通与商务礼仪的语言范式”、“体态语在跨文化商务沟通中的应用对比”、“微笑的无声交流——谈非言语行为在跨文

化商务交际中的影响”、“中美商务谈判风格比较”、“跨国公司的企业文化——个案分析”、“文化因素对国际商务谈判的影响——以××公司并购案为例”、“中美商务文化对比”、“面子理论在酒店销售话语中的应用”等。

#### 4. 商务英语教学研究

商务英语教学研究目前是商务英语各类研究中占比最大的研究(王立非,李林,2011,2013)。教学研究本应属于应用语言学下的一支,这里将其单列出来主要是为了方便讨论。这里所说的商务英语教学研究包含关于商务英语的学习者、课程、教师以及学科建设等与教学相关的所有研究。从期刊网近年发表的论文来看,研究商务英语专业各类课程教学模式与教学方法的论文较多,也有一些资深的学者在做探讨学科建设的研究,这也是商务英语得以确立其专业和学科地位的因素之一。关于教师发展和学习者学习动机、学习方法等相关研究相对较少。目前,从事商务英语教学研究的主体是具有教学经验的各类高校教师,他们的研究推动了商务英语专业的发展。

本科生的教学经验有限,开展教学研究具有一定的难度。本科生可以开展关于学习者和课程相关的教学研究,研究学习者选择商务英语专业的动机,学习者的学习方法与策略,对比不同学习者的学习积极性与学习效果,研究商务英语专业某一核心课程的教学方法和教学模式,探讨商务英语专业学生的核心竞争力等。这些研究具有较高的应用价值和实际意义,可以让学生更好地了解商务英语专业及其发展前景。商务英语课程教学研究一般采用某种英语学习或教学的理论或理念,探讨某类或某门课程的教学模式,如“CBI 教学理念下商务英语专业商科相关专业课的教学研究”、“SWOT 分析法视角下的商务英语专业商务课程双语教学研究”、“基于建构主义的商务英语教学研究”和“基于附带习得理论的商务英语专业词汇教学研究”。

#### 5. 商务管理(简称商管)本体研究

商务英语研究,除了关于语言与文化的选题之外,还有关于商务和管理的知识与技能研究,这部分内容是商务英语专业的核心知识与技能,因此在这里将之称为商管本体研究。商务英语专业学生需要具备四种专业知识与技能,即语言知识与技能、商务知识与技能、跨文化交际能力和人文素养。其中,商务知识与技能包括经济学、管理学、法学(国际商法)和商务技能四个部分(陈准民,王立非,2009)。从学科理论基础看,商务英语研究自身已具备了完善的理论体系,包括专用英语理论(ESP)、话语分析、应用语言学、功能语言学、跨文化交际学、翻译学、经济学、国际商务、国际贸易学、电子商务、国际营销、国际商法等(王立非,李琳,2011)。既然具有如此众多的理论基础,那么商务英语学科的研究对象就不应仅仅局限于商务英语语言和商务英语文化的研究,还应该涵盖在经济学和管理学指导下的国际商务、国际贸易、电子商务、国际营销、国际商法等内容的研究,这类研究属于商务英语专业的本体研究之一。

商务英语专业的高级人才一定是那些语言沟通能力强、通晓商务知识与技能、具有国际视野的人。国内的商务英语研究更加注重关于商务英语语言、翻译、文化、教学以及跨文化交际学的研究,而恰恰忽略了商务管理本体研究。这与商务英语专业很长时间以来定位不明确和商务英语专业教师的学科局限性相关。这部分研究与国际贸易专业、国际商务沟通专业以及管理类专业的部分研究重合,也为这部分研究的统计造成了一定的困难。随着商务英语专业和学科地位的确立,有条件的院校将逐步加大商务英语专业建设的投入,

推动商务管理本体研究。商务管理本体研究的选题范围较广，这类研究无关语言与文化的内容，仅与商务和管理的知识与技能相关。例如，“尼桑汽车在中国汽车市场的成功”、“苹果的崛起和诺基亚的没落”、“赠品促销之策”、“电视公益广告策略初探”、“基于消费者心理诉求的体验营销模式分析”等选题所探讨的就是这类内容。需要指出的是，此类研究对于英语专业本科生而言，有一定难度，但是建议未来计划跨界到商务管理专业的学生大胆选择这方面的课题，因为写作论文的过程将极大地深化学生对于相关管理问题和理论的认识。

### 6.6.3 商务英语的研究方法

商务英语的研究方法是多元的，有“定量研究、定性研究、话语分析、案例法、语料库方法、计量统计方法”（王立非，李琳，2011）。商务英语是典型的交叉学科，以多种学科理论作为基础，因此“可以将语言学、交际学、机构研究、批评分析、社会学、文化研究、历史学、新闻学、外交学、经济学、管理等理论应用到商务外语研究中；就多维度研究方法而言，可以采用修辞分析法、机构话语分析法、民族方法学、语料库方法、批评分析法、交际媒介法、谈判研究法、多模态分析法、语用学方法等”（王立非，2012）。研究方法还可以分为非实证研究与实证研究，也称为理论研究与实证研究，其中实证研究又包括定性研究和定量研究。因前面五类研究论文写作中对于研究方法有所涉及，故这里仅介绍商务英语研究方法使用的现状与趋势。根据王立非（2013）等的研究，商务英语研究方法呈现以非实证研究为主导，但是非实证研究与实证研究在数量上呈现缩小的趋势；非实证研究中体会总结论文的比例较高，实证研究中混合研究仍然较少，与当前国际上定量定性混合设计的研究趋势不太一致。

学生应该能够根据自己的选题，选择一种或几种研究方法，正确地运用各种研究方法，验证假设或者通过文献研究得出结论。商务英语研究的各个分支研究都是高度交叉的研究领域，建议采用定性研究与定量研究相结合的研究方法，在论证的过程中，根据选题的需要采用话语分析、案例研究、语料库辅助研究、试验研究、对比研究等多种研究方法进行论证。就目前国内商务英语研究趋势而言，商务英语语言研究、商务英语翻译研究、商务英语教学研究较多采用定性与定量相结合的方法，而且利用语料库进行辅助研究的成果呈现增多态势；商务英语文化研究与商务管理本体研究较多采用案例研究的方法。

### 6.6.4 结语

商务英语研究实际上是关于商务的语言、翻译、文化、教学以及商管专业知识的综合研究，研究领域广，研究分支多，研究内容丰富而实用，而且目前国内关于该领域的重大研究才刚刚开始，是一个可以大有作为的研究领域。需要说明的是，商务英语研究的各个分支绝不是界限分明的；与之相反，商务英语研究各分支之间往往多有交叉，而商务英语研究与前面的英语语言研究、跨文化交际研究、英语翻译研究也有交叉的方面，在商务英语专业确立之前，商务英语的各类研究都是分散于前述的几大类英语研究之中的。与其他研究方向的研究成果相比，国内关于商务英语的研究成果在数量上相对较少，尤其是发表在国内核心期刊上的论文较少，大量的关于商务英语研究的论文发表在一些非主流的期刊上，研究成果质量不高，影响力也较低。叶兴国（2011）等曾提出，商务英语研究“研究什么比如何研究更加重要”，认为有不少论文在选题方面存在问题，主要表现在以下两个方面。第一，有些研究

是不必要进行的,例如,随着各级各类学校的英语教学水平逐渐提高,进出口行业从业人员一般都已具备直接阅读和撰写进出口英语函电的能力。因此,没必要研究类似“英汉外贸函电翻译”和“商务函电翻译的用词技巧”的课题。第二,众多学者对商务英语的某些领域表现出集体性的偏好,例如,过去30年总共发表了约5000篇商务英语论文,其中,研究广告英语和英语商标、品牌的论文约占总数的31%。其实,商务英语的内涵远比我们想象的丰富。与其“扎堆”研究某些内容,不如耕耘一块尚未开垦的处女地。此外,国内关于商务英语的论文有一半以上都是关于商务英语课程的教学论文,而运用语言学、翻译理论或跨文化交际学的理论探讨商务英语的语言、翻译或文化问题的论文较少,研究商管本体知识与技能的则更少。因此,建议想选择商务英语研究做毕业论文的学生,从自身兴趣与能力出发,尽量选择前人鲜少涉及的领域,选择适当的研究方法,收集足够的数据或实例,经过缜密的思辨或实证,推导出具有一定创新价值的结论。

#### 【论文点评】

## A COMPARISON BETWEEN CHINESE AND AMERICAN NEGOTIATING STYLES

### Abstract

With the fast development of globalization and with China's WTO entry, China has witnessed a sharp increase in its foreign trade. International negotiations play a very important role in economic activities including international negotiation. It is widely accepted that understanding cultural variables in the negotiation process is essential to successful international trade and cross-cultural negotiations. In order to negotiate successfully and efficiently, cultural differences between the parties concerned must be identified and bridged.

The thesis is a comparative study of the different types of Chinese and American business negotiating styles from a cross-cultural perspective. There are many factors contributing to a certain type of negotiating style, but cultural system may be one of the most essential. Efforts in the thesis are devoted to the comparison of Chinese and American negotiating styles from the perspective of cross-cultural communication. The first chapter mainly presents the significance of this study, the methodology and its brief outline. The second chapter consists of introduction of international business negotiation and cross-cultural communication. Chapter three mainly compares Chinese and American negotiating styles. Chapter four explores the underlying cultural factors behind the distinctions of these negotiating styles. The last chapter includes the conclusion and implications and recommendations designed to foster cross-cultural awareness.

**Keywords:** business negotiating style; cross-cultural; cultural dimension

# 1 Introduction

## 1.1 Significance of This Study

With the rapid world economic development, especially after China becoming one of the members of the WTO in 2001, trade between China and the USA has been increasing steadily. For Sino-American business negotiations have been playing an important role in economic activities between the two countries.

Due to different cultural backgrounds, different people from different cultures have distinct ways of negotiating. Therefore different negotiating styles are created. All the negotiators are required to have a better understanding about the difference in cultures in different countries.

Therefore, the aim of the paper is guided by theories of cross-cultural communication and the crucial principles in business negotiation, to explore the differences between Chinese and American negotiating styles respectively to find out the causes of Chinese and American negotiating style. The paper is hoped to be helpful to the people who engage in the business negotiation or to the students, who learn the relative major and who will engage in negotiation in the future, can get some tactical skills, suggestion and some inspiration from my paper, to avoid or minimize the mutual misunderstanding or conflict in the transnational business negotiation, thereby promoting the success of bilateral trade negotiation.

Case study and descriptive research have been mainly used as the methodology of research in the dissertation. The cases presented in the thesis are based upon observation of cross-cultural negotiation situation.

## 1.2 Outline of the Thesis

This paper is mainly focused on exploring the comparison between the Chinese and American negotiating styles. There are five chapters in the paper.

The first chapter mainly presents the significance of this study, the methodology, and the brief outline.

The second chapter consists of two parts. One is the introduction of international business negotiation, which presents the concept and essence of negotiation, three basic steps, several types and major tactics of negotiation and fundamental principles in negotiation. The second part is about the cross-cultural communication, including the definition of culture and basic theories of cross-cultural communication.

Chapter three concludes the Sino-American negotiating styles, from the aspect of negotiating goal, arrangement of negotiating team, the ways of communication, styles of problem disposal, and attitudes toward negotiation.

On the basis of the theories of cross-cultural communication research, the causes of the Sino-American negotiating styles formation are concluded into six points (long-term vs. short-term orientation, Confucianism, neutral vs. emotional, universalism vs. particularism, specific vs. diffuse, individualism vs. collectivism).

The final part is mainly about the conclusion of the whole paper and the

implication from the research.

## **2 International Business Negotiations & Basic Theories of Cross-cultural Communication**

### **2.1 The Concept and Essence of Negotiation**

Negotiation is a basic, generic human activity as a process that is often used in labor-management relations, in business deals, in international affairs, and in our everyday activities. the word “negotiation” stems from the Roman word “negotari” meaning “to carry on business ” and is derived from the Latin root words “neg”(not) and “otium” (ease or leisure). Obviously it was as true for the ancient Romans as it is for businesspersons of today that negotiators’ business involve hard work.

Negotiation is always considered as a civilized process that occurs when two or more parties are trying to find a mutually acceptable solution to a complex conflict, and it is widely used in people’s daily life. Negotiations are defined as except for all the formal occasions, but all negotiations, representations, discussions, consultations, etc., can be seen as negotiation. Narrowly speaking, Negotiating refers only to the negotiation of formal occasions. According to Nirenberg’s (Nirenberg, Marshall Warren, American Biochemist) theory, “when people want to exchange views, change the relationship or seek consent, people began to negotiate and these needs of people come from the desire that people want to satisfy their interests, these interests include a wide range of content: a physical, spiritual, organized, personal and so on”. Therefore, a modern definition of negotiation is two or more parties with common (and conflicting) interests who enter into a process of interaction with the goal of reaching an agreement.

The essence of business negotiation should be the price; the main purpose of negotiation is to get the economic interests. In business negotiation, the economic efficiency is always the main standard to judge or evaluate a round of negotiation.

The aim of the negotiation is not only to achieve their own needs, but also consult together to find mutually acceptable solutions by exchanging the views. International negotiation is a very important economic activity to adjust and solve the inevitable conflicts of interest in the different countries or regions.

### **2.2 The Three Basic Steps in Business Negotiation**

There are three basic processes that every negotiator should know: Stating value, Creating value and Overcoming barriers to agreement.

Firstly, to state value. This stage is the initial stage of the negotiations, the negotiating parties should communicate with each other about their respective interests, to state their own strength respectively in order to get others trust. The key step in this phase is to understand each other’s real needs, so the useful trick is to ask questions to each other as much as possible, probing each other’s real needs; at the same time one has to declare the importance of his own.



Secondly, to create value. This phase is the intermediate stage of negotiations. The two sides communicate with each other, including often stating their own interests, and trying to understand the other's real needs. Therefore, during the negotiations, both of the two sides need to find ways to seek a better solution, in order to find the best interests of the negotiating parties. Stage of value creation is often the important phase which is easily overlooked in the business negotiation stage.

Thirdly, to overcome obstacles. This stage is always the critical stage of negotiations. Obstacles to the negotiations generally come from two aspects: One is the two negotiating parties may have conflict with each other on the issue of the interest; the other one is, negotiators have their own difficulties in the decision-making process. The former barrier is needed to be solved with the a reasonable and fair objective standard, offered by both of the two sides, to coordinate the dispute interests; the latter one requires the party which is accessible to be negotiated to help the other party to take the initiative to finish the decision-making process.

## 2.3 Cross-cultural Communication

### 2.3.1 Definition of Culture

“Culture” is usually referred to as something that is derived from or created by the intervention of humans. It is really difficult to define because it is a large and inclusive concept. According to *the Concise Oxford Dictionary*, culture is “the arts and other manifestations of human intellectual achievement regarded collectively”. It can be referred to as intellectual perspective, such as music, art, exhibition, dance, etc. Scholars give various definitions of culture from different perspectives. Edward Tyler says: “culture ... is that complex whole which includes knowledge, belief, art, law, moral, custom, and any other capabilities and habits acquired by man as a member of society” (Edward Tyler, 1871, p.1).

### 2.3.2 Basic Theories of Cross-cultural Communication

#### 2.3.2.1 Hofstede's Cultural Dimensions

Hofstede's study of five choral dimensions: individualism versus collectivism, masculinity versus femininity, power distance, uncertainty avoidance and long-term versus short-term orientation to life.

Contrasts between Individualism and Collectivism		
Attitudes and behaviors	Individualists	Collectivists
Self	Each person is separate from others; children learn to think in terms of “I”	Each person is a part of group; children learn to think in terms of “we”
Identity	Identity is based on the individual	Identity is based on the social network
Communication	Low context	High context
Social values	Speak your mind and tell the truth	Maintain harmony and avoid confrontations
Decision-making	Personal freedom is more important than equality	Equality is more important than personal freedom

续表

Group membership	Follow universal rules; the decision-making process is important	Fulfill obligations to in-group members, relationships are important
Conformity	The individual belongs to many groups but his attachment to them is relatively weak	The individual belongs to few groups but feels strongly attached to them
Behavior toward in-group and out-group members	Group has relatively little influence on the behavior of group members	Group greatly influences the behavior of members
Relationships with group members	Relatively little difference in behavior toward in-group and out-group members	Big difference between in-group and out-group behaviors
Competition	Less intimate with in-groups and less hostile to out-groups	More intimate with in-groups and more hostile to out-groups
Cooperation	Occurs within group as well as between groups	Cooperate with members of in-groups but not with members of out-groups
Self-reliance	It is pleasure to do as much by yourself as possible	People depend on each other but should not burden in-group member unnecessarily
Typical relationship pattern	Short-term, voluntary, less intensive relationship	Long-term, involuntary, more intensive relationship

(Source: Linell Davis, *Doing Culture: Cross-cultural Communication in Action*, Beijing: Foreign Language Teaching and Research Press, 2001, p.232-233.)

### 2.3.2.2 Five Value Orientation Theories from Kluckhohn and Strodtbeck

Both Florence Kluckhohn and Fred Strodtbeck are American anthropologists; they made very important studies on values back in the 1930s. In their theory of Five Value Orientations, they identified five orientations, five categories of beliefs and behaviors.

1. Human nature.
2. Relationship to nature.
3. Sense of time.
4. Activity.
5. Social relationship.

#### Five Value Orientation Theories

Orientation	Basic value		
Human nature	Basically evil	Mixture of good and evil	Basically good
Relationship to nature	Nature controls human	Harmony with nature	Humans control nature
Sense to time	Past	Present	Future
Activity	Being-who you are	Growing-becoming	Doing-what you are doing
Social relationships	Hierarchy	Group	Individual

(Source: Linell Davis, *Doing Culture: Cross-cultural Communication in Action*, Beijing: Foreign Language Teaching and Research Press, 2001, p.188.)

According to the theory of Kluckhohn, there are three basic values for each

orientation, theoretically we can analyze a culture and figure out which of the three values it most frequently uses to resolve the issues for each of the orientations. It could be significantly helpful to compare the basic values of the various values in the world.

### 2.3.2.3 Hall's High-context and Low-context Orientation

Edward Hall, the anthropologist, described approach for examining cultural differences. He distinguishes cultures on the basis of the role of the context in communication. Hall categorizes cultures as being either high-context or low-context. In high-context cultures, most of the information is in the physical context or is internalized in the people who are a part of the information and very little information is coded in the verbal message.

Contrasting High-context and Low-context Cultures

High-context	Low-context
Establish social trust first	Get down to business first
Value personal relations and good will	Value expertise and performance
Agreement by relations and good will	Agreement by specific, legalistic contrast
Negotiations slow	Negotiations as efficient as possible

(Source: Robert Kreitner and Angelo Kinicki, *Organizational Behavior*, 5<sup>th</sup> ed, Boston: McGraw-Hill/Irwin, 2001, p.111.)

## 3 Comparison of Chinese and American Negotiation Styles

### 3.1 Overview

The negotiating style is manifested through the words and deeds, built on the basis of negotiators' cultural heritage, strategies and characteristics. First of all, the negotiating style is the way of behavior, which is shown in the process of negotiation. Secondly, negotiation is the refraction and reflection of cultural heritage. Thirdly, negotiating style has its own characteristics with different regions and countries. Finally, negotiating style is recognized by merchants through repeated practice.

### 3.2 Styles Comparisons

#### 3.2.1 Negotiating Goal

For the Chinese negotiators, they would like to pay much attention to the long-term friendly business relationship. For them, the process of negotiation can be mainly understood as the process of establishing relationships, and the aim of negotiation is to build and develop a long-term relationship; therefore, the contrast represents the beginning of a long and mutually beneficial cooperation. Conversely, if the relationship cannot be perfectly built at the beginning of the negotiation, then it is likely to cause failure.

For the American negotiators, they always believe that the ultimate purpose of negotiation is to sign the final contract with the best economic interests and benefits.



For American business negotiators, the signing of the contract is the basic and fundamental task and also represents their personal value. Therefore, they view every successful contract as a separated course of action. Comparing with Chinese negotiators, they attach less importance to the establishment of friendly cooperative partnership and they mainly focus on the actual value.

### 3.2.2 Arrangement of Negotiating Team

The arrangement of negotiating team generally depends on the scale of the team. Generally speaking, putting together a team requires each member to act a specific role. Each members of the negotiating team must have the team spirit. In the team, the leader always has responsibility to pick up and settle the team. Once they know their roles, they must strictly adhere to them. If they don't, the other team may exploit and take advantage of the weakness to win the negotiation. When each member performs in an appropriate manner, the team would function like a faultless well-oiled machine.

For the Chinese negotiating team, it is always believed that a good negotiating team should consist of at least 6 negotiators including team leaders, financial officers, technical staff, lawyers, translators. In China, most of the negotiating teams don't like to include lawyers in team. To compare with the American negotiating team, Chinese people always spend less attention to the function of lawyers who can make sure the flawlessness of the final contract.

American negotiating teams always adopt the strategy of expert team as the principle when they select the members of the negotiating team. The team of American is usually composed of experts who have rich professional knowledge and background. The American side always attaches great importance to the legal contract. So the Chinese negotiating team must arrange the expert and consultants of technical, financial, translators and lawyers, especially the lawyers, which Chinese negotiating team always easily ignore. With the help of lawyers, it would be more reliable during the procedure of signing contract, in order to make sure the contract is flawless.

### 3.2.3 The Ways of Communication in Negotiation

As Chinese people are considered as very conservative and modest, they would like to consider the relationship between two parties, so Chinese negotiators are not in a hurry to make clear their own recommendations and demands in the initial stage of negotiations. They pay much attention to the introduction for the purpose of establishing a longterm business cooperative relationship. Therefore, in the business negotiation, Chinese negotiators prefer to make a subtle hint of one's requirements. This way of negotiating makes American negotiators confused sometimes. The subtle euphemism and ambiguity shown by Chinese often makes them doubt Chinese people's sincerity in negotiation.

As America is a powerful developed country in the business world, most American negotiators are confident and decisive. In negotiation, they would like to show their intention and demand directly, paying much attention to the high efficiency

and interest. Firstly, Americans are known as being arrogant, because of their country's leading role in the world. This kind of arrogance is considered as Americans' second nature. So it indicates that they would like to criticize and complain others directly. Secondly, they speak loudly and quickly but very efficiently, they seldom apologize when they do something wrong. Thirdly, generally they would like to give a definite answer when they are asked about something, they don't like to hide their own suggestions or ideas, and they prefer to speak directly. Fourthly, American negotiators prefer to debate with others when the proposals cannot be accepted by them and they won't hesitate to say "no" to express themselves clearly. In their views, the negotiation is more like a confrontation between two sides.

### 3.2.4 The Styles of Problem Solving

As Chinese way of thinking model is the overall approach, they approach the negotiation from an overall aspect to each small part, from general to specific that means they would like to reach the consensus in overall aspect first, then to search the specific solution to the issue. Therefore, they don't have a specific order in the procedure of problem disposal and usually they will try to reach the agreement at the end disposal. While, for American negotiators, they pay much attention to the logic relationship in everything, they would rather to start from specific issues to overall terms. In the negotiation, the American negotiators are always busy with talking about the specific terms at the beginning of the negotiation.

### 3.2.5 Attitudes toward Negotiation

The emphasis of protocol refers to attitudes of negotiators towards etiquettes, protocol and ceremony and how they interact with their counterparts at the table. Chinese negotiators generally have a formal style of interaction.

In China, honorifics, title, and status are extremely important. Chinese people expect "leaders" to behave like "leaders" and to be treated like "leaders". The Chinese address their counterparts by their proper title. They do not believe in using first names unless it is between the very best of personal relationship. For the Chinese, the use of a first name at a first meeting is an act of disrespect and therefore a bad thing. Chinese people expect to build relationship based on the acknowledgement of differences, on respect for status, and on deference to title. They don't like using first names unless it is between the much closed personal relationships, otherwise it means an act of disrespect or rude behavior.

Americans, comparatively speaking, have a more informal style. Americans believe that an informal, casual style of communication demonstrates sincerity and credibility. They often feel uncomfortable in situations in which it is necessary to follow prescribed etiquette and decorum. Americans are "notoriously" casual about their use of first name, physical contact, dress, disregard for titles, use (or lack) of business cards, invitations, conduct at social events, etc. For an American, calling someone by his first name is an act of friendship and goodwill. On some formal



occasions, casual dress among the group is only among friends and long time business relationships where other forms of communication are more important and well established.

The different time orientations between Chinese and American negotiators may be exactly illustrated in the following case. (Foster, D.A. *Bargaining Across Borders: How to Negotiate Business Successfully Anywhere in the World*. McGraw-Hill, 1992, P.282.)

The sales manager of WCG, an American high-technology service company was in China to present a new process-control software to a Tianjin electronics company and convey some particulars of the “new product options” to his potential customer. Introductions were made. The talk began with the usual “How do you like Tianjin?” questions. They also talked about the flight from the U.S. After about five minutes of this chatting, the American quite conspicuously looked at his watch, and then asked the Chinese manager of the Tianjin Company what he knew about the company’s new service. “A little,” answered the Chinese. The American quickly took out a brochure from his briefcase, opened it on the desk in front of the client, and began his sales pitch. Armed with charts and figures, the American tried to illustrate how the introduction of WCG’s process-control software would reduce the maintenance budget of the Chinese company. After several minutes of this introduction, the Chinese jumped back in, “Yes, that should make us more efficient and competitive...and competition is important here in China...in fact, have you been following the Women World Cup football matches recently? That one between the Chinese team and the American team was really a bitter battle...” So they talked for a few minutes on the World Cup, why football was not popular in the US, and how the Chinese team could be improved. Then the American tried to change the subject back to WCG’s software. The first signal was a long look at his watch, then the interruption, “Maybe we can get back to the new software we have developed”. The Chinese did get back to the software for a few minutes, but then he went from the advantages of advanced process-control technology to the current state of China’s electronics industry to the changes the open-door policy has brought about in China’s economic life.

In this case, the American negotiator just did not understand that the Chinese has no interest in talking to someone about business that he did not know well. As he was accustomed in the way of American speaking and he can never realize that how rude his attitude of “let us get down to business” is to Chinese businessman. Thus the different attitude towards negotiation can have an intense impact about the negotiation. Americans at the negotiating table, regarding time as money, tend to “get down to business”. However, such approach in Chinese culture is considered brash or too aggressive, and Chinese people feel uncomfortable with the American urgency. In effect, they seldom embark on their business negotiations before their relationship building.

### 3.2.6 Styles of Decision-making

It is important to realize how the other side is organized and how to make decisions. For the Chinese negotiators, authority rests with the group and decision-making occurs through consensus. In this case, the negotiating team is comparatively larger due to the greater number of personnel involved in the decisionmaking process. For the American negotiators, the negotiating team with a supreme leader has complete authority to decide all matters. The negotiating team now tends to be small.

When the negotiations occur, a visible leader or “boss” is usually among the Chinese team members. This doesn’t mean that he has final authority on all decisions. He may need to seek higher authority or final approval from someone else in the negotiations. In China, as there are usually quite a number of interested parties, many external to the company are involved in the negotiation, and a consensus-based process is extremely important. This also partly explains why the entire pace of negotiation process with the Chinese tends to be slow. Due to lack of understanding of the decision-making process of their Chinese partners, many Americans, however, are often annoyed by the pace of negotiation. They doubt that the Chinese play the “restricted authority” tactic to gain negotiation advantages, such as gaining more time for reaction or pressing for more concessions by protracting the negotiation process.

In America where individualistic culture dominates, however, the role of the individual intensely emphasizes the sense of personal freedom. Individuals are not necessarily constrained to a particular social unit by birth (except the family). As a result, individuals strive to achieve personal goals, seek personal autonomy and often prefer to act as individuals rather than a member of a group. In an age that facilitates competitiveness and commands efficiency, individuals are being empowered as decision-makers for their departments, divisions and companies. The negotiating team therefore tends to be small and generally a certain individual is fully authorized for decision making.

## 4 Causes of the Differences in Sino-American Negotiating Styles

### 4.1 Long-term vs. Short-term Orientation

The causes of different styles formation in the aspect of negotiating goal between Chinese and American can be partially illustrated by using the theory of Michael Bond. He applies the long-term versus short-term orientation to reflect how strongly a person believes in the long-term thinking promoted by the teachings of the Chinese philosopher Confucius. According to Hofstede, “on the long-term side one finds values oriented towards the future, like thrifty and persistence. On the short-term side one finds values rather oriented towards the past and present, like respect for tradition and fulfilling social obligations” (1991, p.155).

China ranks the highest position in long-term orientation; therefore, Chinese negotiators view the negotiation as a process to build long-term cooperation and the aim of signing contract always stand for a new beginning of a long-term relationship.



If the talks between the two sides failed to establish a relationship, it often ended in failure.

Americans believe that the ultimate purpose of negotiating is to reach a contract for the biggest economic benefit. For the United States, the signing of the contract is to reflect the interests of their personal values. They each signed the contract as a separate course of action. Unlike the Chinese negotiators, they do not attach too much importance to the establishment of friendly and cooperative partnership instead they focus more on the realization of the actual value.

This distinction in negotiating goals between Chinese and American negotiators can be illustrated by the description of an American executive for his first business trip to China.

“You have been waiting months to hear from the Chinese; then when you do, whole team goes to work helping to prepare your presentation. When you arrive at the hotel, full of anticipation, your Chinese contact says, “How about visiting the Great Wall tomorrow?” So you agree, but then the next day it is the Ming Tombs, then the Forbidden City, the Temple of Heaven, and so on. You came to do business and you expected them to be in a big hurry, and it turns out that they would rather spend time leisurely sightseeing and chatting” (Griffin,1990).

In this case, the American businessman misunderstands his Chinese counterpart. But as a Chinese person, one can easily understand that it is the traditional way of showing hospitality to the guest, and the aim of sightseeing is to develop a long-term relationship in the future. Although the written contract describes the relationship, the true essence of the deal is to establish the harmonious relationship. However, to Americans, they view the business negotiation as a problem-solving activity, striking the best deal for both parties being the solution. Therefore, they generally consider such relationship building method is fundamentally useless, inefficient and unnecessary.

## 4.2 Confucianism

Confucianism, which has significant impact on the Chinese values and it maintains that the entire complex of “moral convention” is the cement of society. Under the influence of the traditional notion “People are inherently good”. Therefore, in the negotiating team, when Chinese team leader try to pick up the team members, the lawyer is easily to be ignored. In the negotiation, Chinese negotiating team often use a “moral standard” to judge other parties’ integrity but ignore using laws to protect themselves from risk. Therefore, when Chinese people draft a contract, Chinese negotiators always only use a few pages to establish the basic principles and general direction and pay less attention on the details, and the terms in the contract tend to be more vague and flexible.

American culture stresses self-realization and self-creativity. Independence and nonconformity are greatly valued. In such egocentric environment, competition among individuals is fierce and the ends justify the means. The goal of an individual is



to find true self-creativity in the enhancement of material welfare. In such a social environment, individuals are likely to take risks for self-fulfilment. Therefore, in the negotiation, Americans would pay much attention to the function of the lawyer and the flawlessness of the contract and they always discuss the detail of the contract until it is flawless. American negotiators also concerns much about the compensation terms and laws. They would like to make sure that all the problems in the future cooperation can be perfectly solved by laws.

#### 4.3 Neutral vs. Emotional

The cause leading to the difference in the ways of communication can be illustrated by Trompenaars's value dimension theory. According to Trompenaars' theory, the neutral or emotional dimension is to describes the extent to which feelings are openly expressed.

A neutral culture refers to the one in which emotions are held in check, the people among this culture would not like to express their own feelings and they act usually stoically and maintain their composure, as China belongs to a typical high neutral culture. Therefore, "face", the concept of the traditional value in China, is always linked with dignity or pride. In Chinese culture, people focus on "face" to care about others in their own views and we should first consider how others will think when people do everything. It is often used in other people's evaluation criteria to regulate their own behavior. Therefore, in the business negotiation, Chinese negotiators would not speak their own mind directly even when they try to refuse others. Chinese people believe that directly rejecting others is way too abrupt, the meaning seems to be offended, thus they always make a subtle hint to express one's own requirements.

An emotional culture is one in which emotions are openly and naturally expressed. People in such culture often smile a great deal, talk loudly when they are excited, and greet each other with a great deal of enthusiasm. There is no doubt that American culture is the highest emotional culture in the world. That is also the reason why American negotiators prefer to express their feelings directly and frankly. Expressing themselves is not only about saying his personal point of view. They also hold that simple argument also helps solve the problem and holding different views has nothing to do with affecting the relationships with others. They treat the negotiation as a confrontation, if the Americans cannot accept others proposals, they will clearly expressed and they won't hesitate to say "no". Therefore, The totally different styles in communicating make the American negotiators feel confused or even misunderstood when they negotiate with Chinese business team.

#### 4.4 Universalism vs. Particularism

The causes of the different styles formation in the aspect of problem disposal between Chinese and American can be mainly illustrated by the theory of Trompenaars' value dimensions. According to his theory, universalism is the belief



that ideas and practices can be applied everywhere without modification; particularism is the belief that circumstances dictate how ideas and practices should be applied. Therefore, in cultures with high universalism, the focus mostly is on formal rules than on relationships, business contract is important to them, and they believe “deal is deal”. In negotiation, when negotiators tackle problems, they always put the task into the first place, and they seem to be more like task-orientated. In the cultures with high particularism, the focus is mainly on the relationship and trust than on formal rules. Therefore, legal contracts often modified, and as people get to know each other better, they often change the way in which deals are executed.

Since China is a typical high particularism country, Chinese people would like to consider the “relationship” more, even if the cooperation fails but the relationship can last long. Therefore, at the beginning of the negotiation, people like to talk from overall aspect to specific details and with an attitude of get-to-know-you, because they want to make sure the relationship between two parties is firm, then they can continue to discuss the specific details.

America is a country with high universalism culture. In negotiation, American people would like to consider the “task” first. At the beginning of the negotiation, Americans always talk from every details to the overall with an attitude of “let-us-get-down-to-business”. They won’t bothered to take care of the relationship between the two parties.

#### 4.5 Specific vs. Diffuse

The main reason why Chinese and American negotiators have totally different attitude toward negotiation can be analyzed with theory of value dimension. According to the theory, a specific culture is one in which individuals have a large public space they readily let others enter and share and a small private space they guard closely and share with only close friends and associates. A diffuse culture is one in which both public and private space are similar in size and individuals guard their public space carefully, because entry into public space affords entry into private space as well.

Chinese culture is a typical diffuse culture. In negotiation, Chinese negotiators usually pay much attention to the honorifics, title, and status. They believe that the use of a first name at first meeting is an act of disrespect and negotiators don’t like using first names unless it is between the much closed personal relationships. Therefore, when the people from specific cultures do business in the diffuse cultures, they should respect a person’s title, age, and background.

American culture belongs to specific culture. They believe that an informal, casual style of communication represents sincerity and credibility and they like calling someone by one’s first name. They think it is an act of friendly behavior. Therefore, when people from diffuse cultures do business in specific culture, they should try to get to the point and be efficient, learn to structure meetings with the judicious use of agendas, and not use their titles of acknowledge achievements or skills that are

irrelevant to the issues being discussed.

#### **4.6 Individualism vs. Collectivism**

In the western business negotiation, Americans all emphasize both the importance of personal and the collectivism. Researches for many years have maintained that self-orientation versus collective orientation is one of the basic pattern variables that determine human action. Although we speak of individualism and collectivism as if they are separate entities, it is important to keep in mind that all peoples and cultures have both individual and collective dispositions.

In cultures that tend toward individualism, competition rather than cooperation is encouraged; personal goals take precedence on organizations and institutions, and every individual has the right to his or her private property, thought and opinions. These cultures stress individual initiative and achievement and they value individual decision making.

In collective countries, identity is based on the social system. The individual is emotionally dependent on organization and institutions, and the culture emphasizes belonging to organizations. Organizations invade private life and the clans to which individuals belong and individuals trust group decisions even at the expense of individual rights.

From the aspect of decision making process in the business negotiation, Americans focus on the emphasis on collective comparative power, emphasizing individual responsibility. The Chinese people emphasize more on collective responsibility and personal power. It leads to the difference between Chinese and American negotiating style. Chinese negotiating team always have a largescale team, but the authority of making decision is always in one person's hand. In the negotiation, sometimes American team only has one or two people, but actually they have a very big strong team behind them to support and offer the advice, and even to make the final decision.

### **5 Conclusion**

#### **5.1 Conclusion**

Globalization in the last decades has changed the way people view the world. Understanding the differences in negotiating styles between Chinese and Americans is essential for businesspersonnel in today's business world. During the negotiation, negotiators should realize the following tips. First, before the negotiation, all the negotiators should make a full preparation, knowing about the negotiation goal, and understanding foreign cultures. Second, the negotiators should pay attention to the words and expressions used during the negotiation to avoid misunderstanding.

#### **5.2 Implications**

A prominent Chinese tactician maintains that "know yourself and your enemies, and you may win one hundred victories in one hundred battles". With an aim to



accomplishing the success in business, Chinese negotiators need:

First of all, to have a reflection upon their own cultural system. They need to be aware of their own values, beliefs and social norms and how these influence their way of thinking and their behavior, and try to avoid the impact of stereotypes and ethnocentrism.

Second, Chinese negotiators in the meantime should be culturally sensitive and try to learn as much as possible about the other side's culture. Although suffering discomfort or emotional stress, Chinese negotiators should try to understand what their counterparts are and how their behaviour may impact their counterparts.

Third, they should always bear in mind that their foreign counterparts are different from themselves not only in physical features, motivations, but also in beliefs and values. Once differences are understood, negotiators should seek ways of accommodating them. However, there is no need trying to fully adapt themselves to the other side's culture and casting judgment on the other party's cultural system should be avoided.

Fourth, the path to success in negotiations is to prepare enough. Preparation is difficult enough in domestic negotiations, but when the many multifaceted cross-cultural aspects are added, the problems and time necessary for adequate planning rise exponentially. Therefore, Chinese negotiators need to get well prepared both technically and culturally.

Fifth, effective negotiators are particularly good at controlling their body language and at the same time at adjusting to many nonverbal signals they receive from the opposite negotiators. Chinese negotiators should be aware of the significance of non-verbal communications and be careful about their own body language and the meaning attached to the other party's gestures, tone of voice, silences and facial expressions. Visual aids like photographs, diagrams, drawings, catalogs, books and samples of products are often worth more than words in a cross-cultural context. To achieve better results during negotiations they should be used.

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### 【评析】

这篇论文题目为《中美商务谈判风格比较》，论文属于商务英语研究中的商务英语文化研究范畴，其核心议题是商务沟通中的商务谈判。论文的第一部分介绍了研究的目的与意义，说明将采用案例分析和描述性研究的方法探讨中美商务谈判风格差异及其成因，并且简要地介绍了论文的整体结构。在论文的第二部分，首先，作者介绍了商务谈判的概念和本质以及三个基本步骤；然后，介绍了阐述了文化的定义以及跨文化交际的三个基本理论，即霍夫斯泰德的文化维度理论、克拉克洪与斯乔贝克的五大价值取向理论、霍尔的高低语境理论。论文的第三部分从谈判目标、谈判团队安排、谈判沟通方式、解决问题方式、谈判态度、决策制定方式六个方面对比了中国人和美国人在商务谈判中所存在的差异。论文的第四部分阐述了中国人和美国人谈判风格差异的成因，认为这种差异主要体现在文化方面，指出了导致中美商务谈判的六大文化因素。论文的第五部分是结论，作者对论文内容进行了总结，在论文的最后部分为参与商务谈判的国人提出了五点有益的建议。

该论文选题略显宽泛，如果能以某次中美两国或企业间的重大商务谈判为例，所述内容将更加清晰易懂。论文主要说明中国人和美国人在国际商务谈判中表现出的某些差异及其成因。论文首先说明了差异的表现，然后结合跨文化交际的相关理论，探讨了导致差异产生的文化因素。论文的主要观点是：文化的多方面差异造成了中国人和美国人在国际商务谈判风格上的不同。相对而言，所得结论创新性不足，可以说这个结论是显而易见的事实。此外，在论文主体内容中，介绍性内容远远多于评述性内容，较多借鉴前人的理论和研究成果，创新性不足。在论述过程中，案例不够充足，没能突出案例分析的研究方法。论文的语言和格式还可以进一步完善。

论文的可取之处：第一，论文结构完整，中心明确，内容安排相对合理，语言表述较准确，能够围绕所选议题，采用一般案例分析和描述的研究方法，结合跨文化交际的相关理论，进行相对到位的介绍和论述。第二，论文结尾部分列出了五条建议，无论所列五条建议的内容是否合适，至少在结论部分提出对于研究者或读者的几点建议或启示的做法是可取的。商务英语文化类研究论文，其价值就体现在能够为从事跨文化商务活动的人士提供某种行动指南。

# 第7章



## 引文、注释与参考文献

### 7.1 引言 ◀◀

毕业论文的撰写是在一定的学术积累基础上进行的一种创造性劳动过程。一篇严谨的学术论文，必须建立在借鉴前人研究成果的基础上。在论文写作过程中，必不可少地要引用前人的研究成果，或者对前人的研究成果加以解释说明，这就是引文。作者通过引文来协助思想的表达，这是在撰写毕业论文中的普遍现象。为体现学术的严谨习惯，尊重他人的研究成果，则需要对论文引文加以注释并列出参考文献。注释注明论文中被引用材料的确切来源，或作者对所引用的材料加以解释，参考文献则列出对论文的撰写有过指导、影响的所有参考资料和文献。本章首先简要地介绍引用、注释和参考文献，然后简要介绍 MLA、APA、CMS 等常用的英语论文格式，之后详细介绍英语论文最常用的 APA 格式的引用和参考文献具体格式，最后介绍避免抄袭的基本方法。

#### 7.1.1 引用

引用是学术论文写作时必不可少的要素，正确合理地引用别人的观点不会使论文失去原创性，反而能够证明论文的资料来源充足、真实可靠。大量的引文证明作者的研究是在前人和他人的研究成果及所积累的资料基础上进行的。《高校人文社会科学学术规范指南》(2009)指出了以下基本的引用原则：引用应尊重作者原意，不可断章取义；引用是为了论证自己的观点，要避免过度引用；引注观点应尽可能追溯到相关论说的原创者；引用应伴以明显的标识，以避免读者误会；凡引用均须标明真实出处，提供与引文相关的准确信息等。

引用分为直接引用和间接引用。直接引用指一字不差地引用原作者的语言。在需要强调原始资料的真实性、权威性时，一般使用直接引文。使用直接引文应尽量简短，直接引文必须标明页码。

第一，在直接引用的文字少于 4 行或少于 40 个字时，直接在原文内用双引号标明，并在引语后的括号内注明所引用部分的作者、出处和页码。例如：

Scholars give various definitions of culture from different perspectives. Edward Tyler says: “culture is that complex whole which includes knowledge, belief, art, law, moral, custom, and any other capabilities and habits acquired by man as a member of society.”(1871, p1)

第二，在引文超过 4 行或超过 40 个单词时，应在独立的段落中显示出来，且不必用引号。左缩进 5 个字符打印，单倍行距，且字号缩小一号。例如：

*Longman Dictionary of Language Teaching & Applied Linguistics* (Richards, et al.,

2000, p452) defines stylistics in the following way:

The study of that variation in language (STYLE) which is dependent on the situation in which the language is used and also on the effect the writer or speaker wishes to create on the reader or hearer. Although Stylistics sometimes includes investigation of spoken language, it usually refers to the study of written language, including literary texts. Stylistics is concerned with the choices that are available to a writer and the reasons why particular forms and expressions are used rather than others.

第三, 直接引用时要注意不能改变引文中的拼写、标点等, 要与原文保持完全一致, 但如果希望省去一段引文中不重要或与论文关系不大的部分, 则使用省略号 (...)。例如:

Translation is uniquely revealing of the asymmetries that have structured international affairs for centuries..., (it) is a cultural practice that is deeply implicated in relations of domination and dependence(Venuti, 1998, p158).

间接引语指作者用自己的语言转述他人的观点和看法, 可以采用解释、意译或总结的方式。间接引语能够更简洁、清晰地概括原作者的观点。采用间接引语时, 应注意要准确地复述原文观点, 不能断章语义、以偏概全或歪曲原文观点。在引用开始时, 需使用“某某认为”或“某某在某年指出”等引用提示语, 并加以注释。如正文中有作者姓名, 则将年份及页码等信息放入括号中, 例如:

1. Brown(1983, p231) claims that communicative way of teaching is a far more effective way of teaching in ELT. (注: 此处页码可以省去)

2. When narrating story, authors usually omit some content intentionally to let readers feel elusive and confused, and arouse various kinds of suspicion and supposition, which is also one of the means to set up suspense (Huang Lushan & Liu Peixiang 1997, p47). (注: 此处页码可以省去)

### 7.1.2 注释

注释总体上可以分为三种: 夹注、脚注和尾注。引用他人成果, 应注明出处, 既表示相关论说非作者原创, 并对他人成果给予应有的尊重, 又可为读者提供该领域的文献信息, 以便日后研究。注释也反映了作者观点与其他学者观点的联系与区别, 或者是对作者自己观点的进一步说明, 因此, 也是正文不可缺少的补充部分。

本节仅对三种注释方式做简要介绍。

(1) 夹注, 又称文中注, 指在需要注释的文字后面直接加括号, 在括号中写明注释信息, 包括作者、著作、论文名称、出版者、出版时间、页码等。夹注所提供的信息内容, 必须与参考文献中所列的作者、书目一致。夹注一般放在句末, 引号后边, 最后的标点前面。

(2) 脚注是指附在文章页面最底端的, 对引文加以说明的注文。脚注的序号按页编排, 不同页的脚注序号不需要连续。

(3) 尾注是指在论文末尾将全部注释按照在正文中出现的先后顺序依次呈现的注释方法。基本要求如下: 在正文需注释的部分的右上方按顺序加注数字, 从 1 开始, 按顺序编号; 在正文之后的注释页按对应数码附上注文。尾注可以是被引用材料的确切来源, 也可以是作者列举可供读者参考的书目, 或对所引用材料的解释或简要评论。

在 APA、MLA 等常用格式中, 均要求以夹注形式注释文献。英语专业的论文通常采用 APA 格式, 其具体的注释、引用、参考文献格式请参考 7.3 节。

### 7.1.3 参考文献

在论文的最后应注明写作论文时所参考的文献。这样做反映了作者的科学态度和求实精神,表示作者对他人成果的尊重;也反映了作者对本课题的历史和现状的研究程度,便于读者了解该领域的研究情况、评价论文的水平 and 结论的可信度。

参考文献所列的是论文撰写过程中参考和引用过的书籍和文章的相关信息。这些信息的录入要完整、规范。一般而言,未被引用的书籍或文章不可列在参考文献中。

## 7.2 常见格式 ◀◀

目前被国际学术界广泛接受的英文论文格式主要有三种:美国心理学会论文格式(American Psychological Association, APA)、现代语言学会论文格式(Modern Language Association, MLA)和芝加哥论文格式(Chicago Manual Style, CMS)。

### 7.2.1 APA 格式

APA 格式指的是美国心理学会(American Psychological Association)出版的《美国心理协会刊物准则》。APA 格式主要用于心理学、教育学、社会科学领域的论文写作。其规范格式主要包括文内文献引用(Reference Citations in Text)和文后参考文献列举(Reference List)两大部分。英语专业论文通常要求学生采用 APA 格式,引用和参考文献的具体格式详见 7.3 节。

### 7.2.2 MLA 格式

MLA 格式是美国现代语言协会(Modern Language Association)制定的论文指导格式,在美国、加拿大和其他国家中广泛使用。主要用于英语研究、其他现代语言及文学研究、文学批评、媒体研究、文化研究和相关学科。

### 7.2.3 CMS 格式

CMS 论文格式源于芝加哥大学出版社在 1906 年出版的 *Manual Style*, 经过 100 多年的增补、修订, CMS 确立了学术论文写作格式的权威地位。*The Chicago Manual of Style* 目前已出版第 15 版,书中的“格式指南”部分详细说明了撰写论文时所需注意的细节,包括标点符号、人名和数字的写法、缩写,以及注释和书目的编制方法。CMS 格式广泛应用于图书、杂志、报纸以及人文科学领域。

## 7.3 APA 格式详解 ◀◀

为统一格式,英语专业毕业论文要求使用 APA 格式。在下面的章节中,将详细叙述 APA 格式的引用格式和参考文献格式。

APA 格式要求对文中引用的文件原语、转述、概括和其他来源进行夹注。这些夹注取代了脚注和尾注,且文后附录参考文献中所有的条目都应有对应的夹注。文中引用涉及的作者都必须出现在参考文献目录中,所有列出的作者必须在文内有对应的引文。



### 7.3.1 APA 引用格式

#### 1. 引用整篇文献的观点

基本格式必须包括作者姓氏（若未在正文中提到）和年份，例如：

Transfer was considered responsible for error occurrences in cross-linguistic, cross-culture learning (Lado, 1957).

另一种情况是，作者的姓氏已在正文同一句中出现，则作者的姓氏不必在夹注括号中重复出现，例如：

Taylor(1990) claims that Charlotte and Emily Bronte were polar opposites, not only in their personalities but in their sources of inspiration for writing.

如果作者的姓氏和文献出版年份均已在正文同一句中出现，按照 APA 的规范则不需使用括号夹注，例如：

In a 1990 article, Taylor claims that Charlotte and Emily Bronte were polar opposites, not only in their personalities but in their sources of inspiration for writing.

在用英文撰写的论文中引用中文著作或者期刊，括号夹注中只需用汉语拼音标明作者的姓氏，不得使用汉字，例如：

On the one hand, previous studies do not hold a holistic or comprehensive view of L2 writing performance(Wen, 2006).

#### 2. 引用文献中具体观点或文字

在引用文献中某一具体观点或文字时，必须注明该观点或者该段文字出现的页码，没有页码是文献引用不规范的表现。若作者的姓氏已在正文同一句中出现，则不需要在括号夹注中重复。例如：

Baym (1993) concludes that journalists “must speak in a voice that is both institutional and representational, hierarchical as well as relational” (p111).

#### 3. 引用多位作者写作的同一文献

两位作者：均须列出姓氏。

Research (Yamada & Matsuura, 1982) reports the poor performance of advanced English learners who could use English articles correctly only in 70 percent of the cases.

3~5 位作者：首次提及时须包括所有作者，此后再提及则只需列出第一位作者，后以 et al.代表其他作者。

According to educational psychologists(Franklin, Childs, & Smith, 1995), raising children is a responsibility of the entire community.

To be successful, “communities must be willing to take this responsibility” (Franklin et al., 1995, p. 135).

6 位作者及其以上：

As Miller et al. (2001) demonstrated...

#### 4. 引用同样姓氏的不同作者

假若两个或两个以上的作者有同样的姓氏，则括号夹注中应同时使用他们名字的首字母，例如：

Well-established SLA researchers (R. Ellis, 2002) seem rather skeptical of the assertion that repetition alone explains the development of the knowledge of a second language (N. Ellis, 2002).

在引用中文著作或期刊时, 同姓作者的情况较多, 应在括号夹注中使用他们名字的首字母加以区分, 例如:

(W.Y. Wang, 2003) (L.F. Wang, 2003)

5. 非个人作者: 首次提及时使用全称, 后只需使用缩写:

(National Institute of Mental Health [NIMH], 1991) ...

(NIMH, 1991)

6. 引用团体作者 (corporate author)

引用团体作者的作品, 括号夹注中应使用团体的名称, 例如:

Retired officers retain access to all of the university's educational and recreational facilities (Columbia University, 1987).

7. 引用无作者文献

引用无作者文献, 如果文献标题没有出现在正文里, 则括号夹注中应使用该标题或者使用该标题中的关键词组 (如果标题过长), 例如:

("Mad Cow," 2001) 或者 (*Sleep Medicine*, 2001)

在使用关键词组时应该选择标题开始部分的词组。

独立出版物的标题或者标题中的关键词组用斜体标出, 出版物内含的作品的名称以及未出版的作品 (讲演、论文等) 的标题或者标题中的关键词组用引号标出。

8. 引用书信、谈话中的观点或文字

书信和谈话 (含电子邮件、访谈、电话等) 无法在正文后面的参考文献中列出, 但应该在正文中使用括号夹注的方法注明出处。例如:

Mira Ariel (e-mail, April 17, 2004) confirmed that accessibility marking played a crucial role in discourse organization.

Researchers may observe that Chinese English majors with no overseas experience often have a better command of English than American foreign language majors with no overseas experience have of the language they study (Eugene Nida, personal communication, November 8, 1986).

9. 引用同一作者的多篇文献

同一作者的不同文献可用出版年份来区别, 括号夹注还可以表示同一作者的多篇文献, 文献按发表次序排列, 例如:

Back in home, four significant studies have been made (Wen, 2003, 2004, 2006, 2010).

同一年份发表的文献应对年份另加字母, 以示区别 (正文后参考文献著录中相应的条目里的年份应加同样的字母), 例如:

(Bloom, 2003a, 2003b)

10. 同时引用不同作者的多篇文献

括号夹注可以包括不同作者的多篇文献, 文献按作者姓氏的字母顺序排列 (注意分号

的使用)，例如：

Distance from health care providers, lack of transportation, lack of health care providers, lack of information about the disease and various treatment options, poverty and social isolation due to geography are all factors which affect treatment decisions of rural clients (Brown, 2001; Sullivan, Weinert & Fulton, 1993; Weinert & Burman, 1994).

#### 11. 引用非直接文献 (indirect source)

论文应尽可能避免使用非直接文献（二级文献 secondary source），但在无法找到直接文献（一级文献 primary source）的情况下，引文可以从非直接文献中析出，例如：

Grayson (as cited in Murzynski & Degelman, 1996, p. 135) identified four components of body language that were related to judgments of vulnerability.

One researcher (Grayson, as cited in Murzynski & Degelman, 1996, p. 135) identified four components of body language that were related to judgments of vulnerability.

引用非直接文献以后，在正文后参考文献著录中只需列入该非直接文献的条目（上述实例中的“Murzynski & Degelman, 1996”）。

### 7.3.2 APA 格式参考文献

正文引用文献须按 APA 的要求，著录在 References 之下，在正文最后一章结束后另页开始，页码与正文相连。文献著录必须按作者姓氏的字母顺序排列，不得以正文中出现的先后排序编码，不得使用阿拉伯数字。每一条目中的各项内容都必须按 APA 规定的次序和格式编排。

参考文献的字体与正文相同，条目间距为 1.5 倍行距，条目内换行用单倍行距。

#### 1. 著录已出版的文章

##### 1) 一位作者写的文章

依次提供以下信息：作者、出版年代、文章名称（正体，文章名的第一个单词的首字母、副标题第一个单词的首字母和专有名词的首字母大写，其余均为小写）、期刊名称（斜体，每个单词的首字母大写）、卷号（每年的若干期为一卷）、期号、文献起始页码。

Cobb T. (2003). Analyzing late interlanguage with learner corpora: Quebec replications of three European studies. *Canadian Modern Language Review*, 59(3), 393-423.

徐盛桓. (2004). 充分条件的语用嬗变. *外国语*, 38 (3) : 11-19.

##### 2) 两位作者写的文章

Tulving, E., & Schacter, D. L. (1990). Priming and human memory systems. *Science*, 247, 301-305.

常辉, 郭阳. (2014). 中国学生对英语空论元的习失研究. *外语教学与研究*, 46(2): 224-234.

注：有些期刊只有期号而没有卷号，是以其出版年作为卷号。在引用时不写卷号，只标注期号即可。

##### 3) 两位以上作者写的文章

Barringer, H. R., Takeuchi, D. T., & Xenos, P. C. (1990). Education, occupational prestige and income of Asian Americans: Evidence from the 1980 Census. *Sociology of Education*, 63, 27-43.

文秋芳, 丁言仁, 王文宇. (2003). 中国大学生英语书面语中口语化倾向研究. 外语教学与研究, 35 (4): 268-274.

如果作者人数超过三人, 也可以考虑仅保留第一作者的名字, 加上 et al. (拉丁文“and others”), 例如:

Barringer, H. R. et al. (1990). Education, occupational prestige and income of Asian Americans: Evidence from the 1980 Census. *Sociology of Education*, 63, 27-43.

4) 书评、影评、电视节目评论等 (Review)

Falk, J. S. (1990). [Review of *Narratives from the crib*]. *Language*, 66, 558-562.

申丹. (2014). 文体学研究的新进展——《文体学手册》(剑桥版) 评介. 外语教学与研究, 46 (2): 303-308.

5) 收集在书籍中的文章 (Selection from an edited book)

Wilson, S. F. (1990). Community support and integration: New directions for outcome research. In S. Rose (Ed.), *Case management: An overview and assessment* (pp. 13-42). White Plains, NY: Longman.

王立非. (2004). 写长法的有效性: 来自课外英语长作文写作的实验报告. 郑超 (编). 以写促学: 英语“写长法”的理念与操作 (pp.55-64). 北京: 科学出版社.

6) 杂志中的文章

Gibbs, N. (1989, April 24). How America has run out of time. *Time*, pp. 58-67.

注意: 著录引用杂志中的文章应标明杂志的出版日期, 并在页码前用 pp. 标明。

7) 报纸中的文章

Rehabilitation in head injuries in business and health. (1987, December 29). *New York Times*, p. D2.

注: 在文中引用时, 格式为 (“Rehabilitation in head,” 1987)

8) 百科全书中的文章 (An entry in an encyclopedia)

Bergmann, P. G. (1993). Relativity. In *The New Encyclopedia Britannica* (Vol. 26, pp. 501-508). Chicago: Encyclopedia Britannica.

9) 政府文件 (A government publication)

National Institute of Mental Health. (1990). *Clinical training in serious mental illness* (DHHS Publication No. ADM 90-1679). Washington, DC: U.S. Government Printing Office.

## 2. 著录已出版的书籍

1) 一位作者写的书籍

依次提供以下信息: 作者姓氏、姓名、出版年份、书籍名、出版地、出版社。例如:

Turner, G.W. (1973). *Stylistics*. Harmondsworth: Penguin.

McQuail, D. (1987). *Mass communication theory: An introduction* (2nd ed.). Kibdib: Sage Publications, Inc.

文秋芳. (2003). 英语学习的成功之路. 上海: 上海外语教育出版社.

2) 两位作者的文献

第一作者姓氏、名字首字母、第二作者姓氏、名字首字母、出版年份、书籍名、出版地、出版社。例如:

Brown, G. & Yule, G. (1983). *Discourse analysis*. Cambridge: Cambridge University Press.

王洁, 顾泠沅. (2007). 行动教育——教师在职学习的范式革新. 上海: 华东师范大学出版社.

### 3) 三位作者以上的文献

三位作者以上的文献参照两位作者的文献的格式。例如:

Biber, D., Johansson, S., Leech, G., Conrad, S. & Finegan, E. (1999). *Longman grammar of spoken and written English*. Beijing: Foreign Language Teaching and Research Press.

### 4) 团体作者 (Book with a corporate author) 写的书籍

American Psychiatric Association. (1987). *Diagnostic and statistical manual of mental disorders* (3rd ed., rev.). Washington, DC: Author.

高等学校外语学刊研究会. (1996). 外语语言研究论文索引 (1990—1994). 上海: 上海外语教育出版社.

### 5) 无作者书籍 (Book with no author)

*Standards for educational and psychological tests*. (1985). Washington, DC: American Psychological Association.

### 6) 编撰的书籍 (Edited book)

Campbell, J. P., Campbell, R. J., & Associates. (Eds.). (1988). *Productivity in organizations*. San Francisco, CA: Jossey-Bass.

杨自俭, 李瑞华主编. (1990). 英汉对比研究论文集. 上海: 上海外语教育出版社.

### 7) 编撰书籍中的章节 (Chapter in edited book)

Berkowita, L. & Rogers, K. H. (1986). A priming effect analysis of media influences. In J. Bryant & S. Zillmann (Eds.), *Perspectives on media effects* (pp.57-81). Hillsdale, NJ: Lawrence Erlbaum, Inc., Publishers.

### 8) 翻译的书籍 (Translated book)

Michotte, A. E. (1963). *The perception of causality* (T. R. Miles & E. Miles, Trans.). London: Methuen. (Original work published 1946)

赵元任. (1968). 中国话的文法. 丁邦新译. 香港: 香港中文大学出版社.

## 3. 著录尚未正式出版的文献

### 1) 硕博学位论文 (Dissertation)

引用此类文献时, 要注明是未出版的学位论文以及授予学位的机构。

Thompson, L. (1988). *Social perception in negotiation*. Unpublished doctoral dissertation, Northwestern University, Evanston, IL.

余林. (2000). 汉语语言产生中的语音表征与加工. 博士学位论文. 北京师范大学.

### 2) 学术会议上的报告 (Conference paper)

引用学术会议上宣读的论文时, 需要提供作者姓名、年代、文章名称、会议名称、地点等信息。

Hogan, R., Raskin, R., & Fazzini, D. (1988, October). *The dark side of charisma*. Paper presented at the Conference on Psychological Measures and Leadership, San Antonio, TX.

文秋芳. (2013. 4). “输出驱动假设”与课程教学创新. 全国高校大学英语教学发展学术研

讨会, 厦门.

### 3) 研究报告

Elman, J., & Zipser, D. (1987). Learning the hidden structure of speech (Report No. 8701). Institute for Cognitive Science, University of California, San Diego.

### 4) 无作者文献

*College bound seniors*. (1979). Princeton, NJ: College Board Publications.

### 4. 著录非印刷材料(电影、电视、广播、幻灯、录像、录音、艺术等)

格式: 导演(或制作者)姓名, 年份(或播出日期), 片名(或节目名), 出品地(或播出台或播出地), 出品方。

例如:

Scorsese, M. (Producer), & Lonergan, K. (Writer/Director). (2000). *You can count on me*. United States: Paramount Picture.

### 5. 著录网络出版物

著录网络出版物必须标明出版物的上传日期和论文撰写人上网查询的日期(date of retrieval), 标明网址。条目中网址如需断开换行, 必须在“/”之后或者“.”之前, 网址中不得出现空格。

#### 1) 纸印期刊的电子版

Marlowe, P., Spade, S., & Chan, C. (2001). Detective work and the benefits of colour versus black and white [Electronic version]. *Journal of Pointless Research*, 11, 123-124.

注意: APA 规定在著录网络出版物时在条目的结尾处不使用任何标点符号。

#### 2) 仅有网络版的期刊

Blofeld, E. S. (1994, March 1). Expressing oneself through Persian cats and modern architecture. *Felines & Felons*, 4, Article 0046g. Retrieved October 3, 1999, from <http://journals.f+f.org/spectre/vblofeld-0046g.html>.

在该例中, “Article 0046g” 为网页上文章序号。

#### 3) 报纸电子版中的文章

Hilts, P. J. (1999, February 16). In forecasting their emotions, most people flunk out. *New York Times*. Retrieved November 21, 2000, from <http://www.nytimes.com>

#### 4) 单篇线上文献(无作者及著作日期)

*What I did today*. (n.d.). Retrieved August 21, 2002, from <http://www.cc.mystory.life/blog/didtoday.html>

如果网页没有提供作者姓名, 则条目以网页名或者文件名开始。“(n.d.)”表示网页没有提供上传日期。

#### 5) 大学网页上的文献

Chou, L., McClintock, R., Moretti, F., & Nix, D. H. (1993). *Technology and education: New wine in new bottles: Choosing pasts and imagining educational futures*. Retrieved August 24, 2000, from Columbia University, Institute for Learning Technologies Web site: <http://www.ilt.columbia.edu/publications/papers.html>

6) 从大学课程或系上网站取得的文献

Rogers, B. (2008). *Faster-than-light travel: What we've learned in the first twenty years*. Retrieved August 24, 2009, from Mars University, Institute for Martian Studies Website: <http://www.eg.spacecentraltoday.mars/university/dept.html>

## 6. 参考文献的排列

(1) 文献条目按作者或第一作者姓氏的字母顺序排列。英语文献在前, 按照字母顺序排列; 中文文献在后, 按照拼音排列。例如:

Weylman, C. R. (2001, September 4). Make news to achieve positive press [Msg. 98]. Message posted to <http://groups.yahoo.com/group/sales-marketing-tips/message/98>

文秋芳. (2003). 英语学习者的成功之路. 上海: 上海外语教育出版社.

(2) 同一作者的多篇文献或者同一批排序相同的作者的多篇文献应该按出版次序, 由远及近排列, 例如:

Wegener, D. T., & Petty, R. E. (1994). Mood management across affective states: The hedonic contingency hypothesis. *Journal of Personality & Social Psychology*, 66, 1034-1048.

Wegener, D. T., & Petty, R. E. (1995). Flexible correction processes in social judgment: The role of naive theories in corrections for perceived bias. *Journal of Personality & Social Psychology*, 68, 36-51.

(3) 如果同一作者既是一篇文献的独立作者, 又是另一篇文献的第一作者, 则独立作者的文献应列在第一作者的文献前面, 例如:

文秋芳. (2012). 大学英语面临的挑战与对策: 课程论视角. *外语教学与研究*, 11 (2): 283-292.

文秋芳, 王立非. (2004). 二语习得研究方法 35 年: 回顾与思考. *外国语*, 152 (4): 18-25.

(4) 如果不同文献有相同的第一作者, 但其余作者不尽相同, 则条目按第二作者姓氏的字母顺序排列。如果第二作者也相同, 则按第三作者姓氏的字母顺序排列。例如:

Wegener, D. T., Kerr, N. L., Fleming, M. A., & Petty, R. E. (2000). Flexible corrections of juror judgments: Implications for jury instructions. *Psychology, Public Policy, & Law*, 6, 629-654.

Wegener, D. T., Petty, R. E., & Klein, D. J. (1994). Effects of mood on high elaboration attitude change: The mediating role of likelihood judgments. *European Journal of Social Psychology*, 24, 25-43.

(5) 同一作者或者同一批排序相同作者在同一年份出版的多篇文献, 应该按文献标题第一个实词首字母的顺序排列, 并在年份后加上英文字母, 例如:

徐盛桓. (2004a). 充分条件的语用嬗变. *外国语*, 38 (3): 11-19.

徐盛桓. (2004b). 逻辑与实据——英语 IF 条件句研究的一种理论框架. *现代外语*, 28 (4): 331-339.

在论文正文中, 引用这些文献时必须使用加上字母的年份, 例如:

Xu (2004a) has shown that...

(6) 无作者文献应该把文献标题看成作者的姓对待, 除去冠词后按第一个词首字母的顺序排列。同样, 团体作者应该把团体名称除去冠词后按第一个词首字母顺序排列。

## 7.4 如何避免抄袭

论文写作过程中,学生需要在论文中证明自己已阅读过与课题相关的文章或书籍,也需要借鉴别人的研究成果,但如果没有恰当地证明出处,就构成了抄袭,也就是剽窃。以下行为都可能造成抄袭:复制别人的作品而又未注明;简单改动个别词语或只调整行文顺序,但未注明;有意无意地将他人的观点表现为自己的观点;未恰当使用引号标明所引用的部分。下面介绍在毕业论文写作中避免剽窃的基本方法。

### 7.4.1 释义法(paraphrasing)

英语专业的学生自大学入学起就学习释义(paraphrase),就是以自己的用词和风格来复述别人的观点和信息。即使如此,也需要对所引用的信息来源加以注释。在论文的文献综述部分,作者需要陈述所选课题的相关研究和成果,这就需要学生大量地使用释义法来解释、比较不同作者的不同观点和研究成果,并发表自己的评论。这就需要作者用自己的表述来表明自己已阅读、分析并理解这些信息。仅仅改变原句里的几个词语不会使释义变得合情合理。必须在保持原意的前提下对原来的句子结构及词语做出改变。此外,被释义的文章仍要在你的注释中标注清晰。因为即便是用自己的话语组织出来的语言,但是基本思想仍然是来源于其他作者。

### 7.4.2 直接引用

直接引用可以保留原文的影响力和效果,以及保持观点的权威性。直接引用时需要用引号把所引用的原文括起来。直接引用时,尽量不要对原文做出修改,包括大小写和标点符号,如需删改,应做出标记。学生应选择最能支持论文观点的句子或段落,应简明扼要,学会割爱,以免影响论文的效果。直接引用必须仔细、清楚地标明所引用文字的确切来源和引文的篇幅。原则上,直接引文不得超过全篇论文的三分之一。

### 7.4.3 总结法

总结法是指对文章做出概述。总结能够用自己的语言表达他人文章的主要观点,舍弃细枝末节的细节和例子。同样即使是总结,也需要标明原始出处。要做好总结,首先需要认真阅读文章,列出文章的重要观点,并理清文章脉络,然后写出文章的大纲,之后用自己的语言复述文章大意,同时得出结论,这时结论就是自己的语言表述了。

### 7.4.4 其他建议

(1) 在阅读和摘录时,顺便记下所需书目信息,包括作者、书名、文章名、出版社、出版地、出版时间以及页码,以便日后列出正确的参考信息。

(2) 做摘录时,注意用不同的记号标明直接摘录和转述的他人观点。从一开始标示出哪些是别人的东西,哪些是你自己的东西。

(3) 避免过于简单的笔记,这会造成不恰当的引述和误引。

(4) 认真规划自己的论文,广泛阅读相关文章,在个人的原创想法和其他参考文章中所提及的观点之间做好平衡。拟定写作提纲,有助于区分个人观点和他人观点。



## 7.5 结语 ◀◀

本章主要介绍了学术论文写作过程中引用、注释以及参考文献的基本格式，并重点介绍了 APA 格式的引用以及参考文献列举方法。特别要强调的是，引用文献是反映作者论文写作是否严谨的一个重要指标，反映了作者的科学态度和论文的学术依据，同时也反映出该论文的起点和深度。无论是在开题报告还是在论文正文中，参考文献都具有重要的参考价值，也提供了宝贵的知识资源。

APA 格式的要求对于英语专业本科毕业生而言，虽感烦琐，给予论文撰写者带来一定困扰，但规格的统一却可以给读者及论文评阅者带来极大的方便。规格的建立不仅使初学者了解学术性文章应有的架构、内涵以及严谨性，也可以帮助论文阅读者参考既定格式，按图索骥，快速取得想要了解的内容，对论文做出客观的评价。

# 第8章



## 毕业论文答辩

即将毕业的英语专业学生在经历了从论文选题、收集材料、撰写文献综述、开题报告、论文提纲到完成初稿的多次修改和定稿一系列环节之后，可以向答辩委员会提交论文，进行评审。论文通过评审，即进入答辩阶段。本章就毕业论文答辩环节的意义及所涉及的准备工作、具体过程及注意事项做简要的介绍，供英语专业本科毕业生参考。

### 8.1 毕业论文答辩的目的与意义 ◀◀

对毕业生而言，完成毕业论文任务是个艰难而又漫长的过程。由于种种因素，学生在完成论文写作之后，难免有会获有“大功告成”的思想，进而轻视或者疏于答辩这一最终环节。实际上，论文答辩是完成英语专业本科毕业论文过程中的重要组成部分。写作和答辩是考查毕业生两个既相互关联又相对独立的环节。如果把论文写作看成“笔试”，则答辩可视为“口试”。论文答辩是在论文写作的基础上进行的，重点在于考察口头语言的表达能力和思维的敏捷程度，同时也考查学生的专业知识、专业技能和其他能力的综合性。其目的具体表现在如下方面。

- (1) 检验论文写作的真实程度、努力程度。
- (2) 考察学生的口头语言表达能力。
- (3) 检测学生的应变能力和深入分析能力。
- (4) 测评学生的记忆能力。
- (5) 考察与论文相关知识的广度。
- (6) 使学生之间相互交流，相互启发。
- (7) 指出论文的不足和今后的完善意见。
- (8) 提供答辩的标准和典范。
- (9) 启发学生进一步思考，拓展毕业论文。

由此可见，无论对院校教学质量的保证和提高，还是学生本人的毕业和提升，本科毕业论文答辩工作都具有重要的意义，需认真对待和进行。

### 8.2 毕业论文答辩的一般流程 ◀◀

在英语专业毕业论文答辩工作的组织和实施上，国内各高校可能就某些环节有细微的差异，但其主体内容是相同的。主要包括：

- (1) 指导老师审定, 由指导老师给出成绩或具体意见。
- (2) 向毕业论文答辩委员会提交三份定稿。
- (3) 评阅老师评审, 给出成绩或意见。
- (4) 通过评审后提交答辩委员会; 并申请毕业论文答辩。
- (5) 答辩者在答辩会上报告自己论文的主要内容。
- (6) 就委员会老师提出的问题进行回答。
- (7) 评委打分(不通过者需重复上述环节)。
- (8) 材料存档。

在上述答辩环节的具体内容和流程中, 某些任务由院(系)组织和实施。就参加答辩的毕业生而言, 要特别注意以下几点: 论文定稿的提交、论文自述和答辩问题的预备、论文成绩的了解、答辩后论文的修改和存档。

## 8.3 论文提交与答辩申请 ◀◀

论文提交与答辩申请是指学生按照院(系)专业毕业论文要求完成毕业论文定稿后, 由学生本人向英语专业答辩委员会提出答辩申请, 然后提交纸版打印定稿, 填写答辩申请表。具体过程是, 学生向本专业答辩委员会提出答辩申请, 领取答辩申请表, 按照表内相关要求填写具体内容, 然后在论文答辩会举行前 5~10 天将指导老师审定通过的论文(一般为一式三份)和填写完毕的申请表一并呈交给英语专业答辩委员会或本人的指导教师。

在此, 学生有必要对专业答辩委员会有个概括的了解。论文答辩工作由专业答辩委员会组织并实施。一般情况下, 毕业论文答辩委员会由本专业(相关专业)较高水平(中级以上)的教师和专家组成, 毕业论文指导教师一般不直接对所指导的论文进行答辩评分。答辩委员会下设若干小组, 每组一般为 3~5 人, 由答辩组长、答辩教师和答辩秘书组成。三类人员分工明确: 答辩教师主要负责提问与打分; 答辩秘书负责记录与统分; 答辩组长除了提问、打分以外, 还负责答辩的主持(宣布答辩要求、开始、结束)等。答辩委员会的教师及专家事先要对学生的论文进行评审。

## 8.4 答辩前准备 ◀◀

如前所述, 答辩环节主要是看学生在答辩会上的具体表现。本科生是第一次经历这样的场合, 再加上有的同学口语水平不是很好, 或者在第八个学期基本不怎么使用英语, 所以, 在答辩前应做一些必要的准备。辩前的准备工作可以从心理、礼仪和材料三个方面入手。

### 8.4.1 心理准备

临近毕业, 种种因素往往致使学生的心理比较复杂, 加之要面临本专业或领域内的教授专家的提问, 学生会产生比较大的心理压力。所以, 调整好心理很有必要。

学习无处不在, 答辩准备亦是如此。从长远的角度看, 学生在大学三年级甚至更低年级时应主动去观摩毕业生的答辩会(最好是与自己感兴趣的方向的论文答辩), 对答辩的主要环节做直观了解, 为将来的论文答辩做好铺垫。一般而言, 答辩委员会的教师专家组成结构相对稳定, 听一听这些老师的提问, 一方面可以了解他们的提问风格和内容; 另一

方面对自己感兴趣的专业方向有个宏观的掌握,这对自己将来的论文选题也大有裨益。更有意义的是,学生能提前亲身经历毕业答辩细节,可使其在将来的答辩时发挥更稳定些。

学生还可以从熟悉会场这一点上做准备。答辩委员会一般在答辩前一天确定并布置好会场。学生应该在参加答辩前一天了解会场位置和室内环境。有的学生会在答辩时使用 PPT 或其他辅助手段,所以学生要事先确定教室内有无多媒体等必需的设备,设备是否运行正常,自己的移动设备能否与之匹配,以及是否需要麦克等。答辩前,同学之间还可以做一些模拟练习,这样既能熟悉答辩的内容又可以做到心中有数,减轻心理压力。

#### 8.4.2 礼仪准备

一方面,答辩过程就是语言和非语言交际(verbal and non-verbal communication),对语言技巧与非语言交际都应重视;另一方面,高等院校是学习的地方,辩论会是学生和教师之间进行学术交流的场合,与商业和交际场合有着明显的区别。所以,参加人员(既包括学生,也包括老师)要注意适当的礼仪。这里说的礼仪,主要是指衣着要得体,适度地注重外表,表现要从容自信。

应准备好一套适合学术气氛的衣服,只需干净整洁即可。比如男生可以着深色裤子,浅色上衣;女生可穿淡雅的裙子等。切记不能随随便便地穿上皱巴巴甚至一身汗味的衣服,甚至于奇装异服,避免穿拖鞋、短裤之类过于休闲的衣着。在外表方面,应稍加修饰。男生在发型和胡须上不要彰显个性,女生可以化淡妆,不宜过度佩戴首饰。总之,学生在这个年龄本身就富有朝气,稍加修饰,注意适合严肃的学术场合即可。

应注意避免在答辩时的紧张举止。在紧张环境里,每个人或多或少都有一些下意识的反应和动作,如有的人不时地抓耳挠腮,有的人频繁地扯衣服、扶眼镜,有的人甚至有解扣卷袖、挖耳抠鼻等不雅动作。为了克服这些问题,学生可以在答辩前和同学相互预演答辩,及时发现并克服这些紧张反应。

#### 8.4.3 资料准备

熟悉论文内容是答辩的基础和核心。即便是自己努力撰写出的论文,在答辩前仍应进一步熟悉自己的论文内容,尤其是要熟悉主题部分和结论部分内容,明确论文的基本观点和主体的基本依据;弄懂弄通论文中主要概念的确切含义,所运用的基本原理的主要内容;同时还要仔细审查、反复推敲文章中有无自相矛盾、谬误、片面或模糊不清的地方。如发现上述问题,应及时补充、修正。在此基础上,学生可以准备以下资料。

##### 1. 撰写自述报告

答辩开始时,学生须向答辩委员会汇报论文的内容,汇报时间一般在 5~10 分钟。(在使用 PPT 作为辅助手段的情况下,应考虑自述报告和 PPT 的内容相匹配)因此,答辩学生应事先写出自述报告,以便在规定的时间内把论文的主要观点清楚流畅地陈述出来。一般自述报告需要简要陈述选题动因、中心论点和分论点之间的关系、论据的使用、论证方法、理论指导,论文的意义以及存在的不足。具体地说,作者要明确地说明论文的基本观点,论文主要概念的确切含义,运用的基本原理的主要内容,作者在哪些方面进行了探索,解决了什么问题,提出了什么新观点、新见解,立论的依据是什么,采取了什么途径和研究方法等。总结不足之处主要包括论文有哪些应该涉及或应该解决的问题,哪些是在论文中未涉及或涉及很少的问题,哪些是在研究过程中确已接触到并有一定的见解,还是

力所不及而未能接触的问题,或是由于觉得与论文表述的中心关联不大而没有写入的问题等,对这些问题都要认真总结和分析。

鉴于学生在实际的汇报过程中往往会过于详细而导致超时,自述报告的长度最好控制在7分钟左右的时间。

## 2. 准备答辩问题

除了自述报告外,答辩者还须回答教师就论文提出的3~5个问题。因此,学生在答辩前还可以就可能遇到的问题进行一些预测性的准备。由于答辩委员会由多名教师组成,故提问的侧重点、层次和角度不同。一般而言,答辩教师会就论文所涉及的一切可疑或感兴趣之处提出问题。这类问题一般会涉及论文的题目,文献综述方面的问题,论文的关键词,论文立论依据方面的问题,有时会涉及参考书目等细节性问题。详细如下。

(1)选题的起因、动机和目的。这类问题一般有:Why do you choose such a theme? / What do you want the reader to get from your thesis? / Why were you interested in this project? 答辩者要能对论文中反映这些问题的相关内容清清楚楚地阐述出来。

(2)论文的中心论点和分论点的内容以及相互之间的关系。论点是一篇论文的灵魂,也是答辩教师重点提问的内容之一。他们会从论点入手来检查作者对问题的认识深度。比如,有的同学的论文题目是 *The Modernist Tendency in Sons and Lovers*, 答辩委员会教师可能会提出下列问题:What is the modernist tendency? How is it reflected in theme and structure in this novel? 事实上,这就需要作者从中心论点和如何证明论点的角度去回答问题。

(3)论据的使用。论据是支持论点的根本保障,论据的来源及其在论文中的作用是在答辩中会经常遇到的问题。以一篇标题为 *Different Marriage Customs Between China and English Speaking Countries* 的论文为例,答辩老师会提问:In your essay you described both the traditional and the modern wedding in English speaking countries, esp. U.S. and Britain. Why not the modern wedding in China? 提出这样一个问题,显然是答辩老师注意到论文大量描述了西方的传统和现代婚俗,而有关中国婚俗的论据实例很少或不成比例。在准备问题时,学生应就考虑如何解释这样处理的原因,或者事先提供更多的具体实例以备到时详细作证。

(4)论证方法。论文中所使用的论证方法在答辩前要进行一次总结分析,务必使其严谨规范,合乎逻辑。答辩问题时能够做到有理有据,自圆其说,最忌讳自相矛盾。具体可参考8.5.2节部分的内容。

(5)论文的学术价值和现实意义。一篇论文只有具有学术价值或现实意义才值得去研究。论文作者对前人观点的继承以及对相关学科的发展是答辩老师重视和感兴趣的内容,所以答辩者要做出比较详细的准备。比如一篇名为 *Relevance Theory and Translation* 的论文,将认知语用学中的关联理论用于翻译研究。答辩老师自然会对其中涉及的关联理论的内容、这个理论与翻译的关系及对翻译的指导作用发问。在准备过程中,这些“亮点”需要答辩者多下些功夫。

(6)论文的关键词或参考文献。关键词主要是论文的标题及摘要部分所包含的主要词语。以《游戏教学法在小学英语教学中的应用》这一论文题目为例,论文的标题就蕴含两个关键词:一是“游戏教学法”,二是“小学英语教学”。对此,在准备阶段,学生应围绕关键词做足功课,要了解游戏教学法的定义和意义,并注意比较各种教学法之间的异同及利弊。提问还会涉及参考书目,一个主要目的就是核实学生是否认真地读过这些书籍。

所以学生在编写参考文献的书目时，一定要实事求是，不可随便罗列几本书名凑数。

总之，由于答辩学生的论文内容和形式各异，答辩教师的研究领域和兴趣各不相同，很难预测老师在实际答辩过程中提出什么样的问题。能否成功地回答问题主要取决于论文作者对自己所研究的课题的熟悉程度和钻研的深度与广度。

### 3. 制作论文自述 PPT

在书写自述报告时，除了可以采用以书面为主的方式外，学生还可以考虑运用多媒体辅助手段，如 PPT 或者其他视听辅助手段。尤其是当论文涉及大量的图片、表格或逻辑关系时，学生更应该考虑使用 PPT 配合自述报告，以便在有限的时间内以直观的形式展现较多的信息，使自述报告更具有说服力。因此，在答辩过程中就会经常用到或听到下列表述用语：

What I'm going to talk about today can be summed up into the following three points. First of all, let's see No. 1 slide...

It would be very interesting to take a look at the basic characteristics, which are shown in this page...

Now the results of our investigation are listed in this table. We can see from the table that these results are very similar to those obtained by Professor...

PPT 内容可以包括论文题目、指导教师姓名、选择该题目的起因、论文的主要观点、论据和写作体会，以及论题的理论意义和实际意义。但要注意，PPT 应内容简洁，最好是提纲性的结构，与讲稿内容紧密结合，控制在 10 页以内（含标题、正文和致谢页）。切忌将论文内容大段照搬上去，作为自述时的底稿。

使用多媒体时要注意演示和口头表述的有机结合。课件的完成并不一定能保证答辩的成功。因为在答辩过程中往往会出现人机冲突——口头阐述和演示步骤难以协调一致。这时就需要先设想报告效果，要么在演示之前解释论点，要么在演示之后归纳总结。总之，要保证多媒体对自述思路的“辅助”作用，而非将其代替。

### 4. 适度的口语复习

毕业生经过近一个学期（第八学期）的论文写作，再加上忙于就业等一些额外的事情，几乎很少或不注意英语口语的训练，从而形成一个口语的空档期，这对学生的毕业答辩很不利。英语专业毕业生的论文答辩，既是对学生论文写作情况的一次检查，也是对学生口语的检验。所以学生既要做到对论文内容熟悉，也应注意自己英语口语能力的恢复和适应。具体来说，学生在答辩前准备论文自述报告时，对论文中所引述的概念定义以及理论的主要内容，要强化记忆。然后要准备好开场白、致谢词。写好论文后应多演练几遍，做到离开稿子也能在规定的时间内准确复述。学生之间还可以进行答辩练习，相互提高答辩技巧。

## 8.5 具体答辩 ◀◀

上面已经就答辩流程所涉及的一些准备工作做了一些基本介绍。在进行具体答辩时，答辩者要提前到场，进行抽签，决定答辩顺序，然后在场外等候答辩。下面介绍在实际答辩中如何应对具体的问题，并给答辩者提供一些简要的答辩技巧。

### 8.5.1 自述论文

自述过程中语言表达要简洁明了,层次分明,紧扣主题。既要避免使用一些生涩难懂的专业性很强的词汇,又要注意不要运用过于随便、不正规的语言,以免与毕业论文答辩这种庄重的场合不相符合。同时,答辩时要注意语音语调,尽量做到准确无误,平稳一致;语速要适中,一般以每分钟100~120个词为宜;音量也要掌握好,不可过高或过低;此外重读、停顿和一些肢体语言都要予以考虑,以避免陈述的单调性。

### 8.5.2 回答问题

答辩中应认真领会教师的题意,针对问题答其所问。

因为答辩用英语进行,所以对听不清楚或不能理解的问题,可以请求教师再说一遍:

Pardon? / Sorry, I didn't catch what you've said. Would you mind repeating your question? / What was the last sentence, please? 或说出自己对问题的理解,问清是不是这个意思,得到肯定答复后再回答: Sorry, I'm not quite sure of your question, could I understand your question like this... / To the best of my knowledge, you were asking me about..., am I right? / It seems to me that what I have been asked perhaps means..., was that your question? 如果已理解问题,但对自己的答案不是十分肯定,在回答时要留有余地: I wonder if it's very like to ... / Perhaps I could give you more examples concerning this. 因为答辩委员一般是本学科的专家,若答辩者研究得不够深入、思考得不够全面,则在答辩会上会被某个问题问住。如果遇到比较复杂难以回答的问题,可以稍加思考后坦诚地告诉答辩教师(Sorry, I am afraid I know very little about it. I am all ears to your suggestion.),取得答辩教师的指点和帮助,并表示答辩后会进一步研究这个问题。切忌含糊其辞,文不对题,甚至不懂装懂,随便做答。在结束部分应该感谢教师的指教。

### 8.5.3 及时记录

答辩前应准备好纸和笔,以便答辩过程中随时记录教师的提问要点,以备对答。学生还应该把有价值的意见和见解记录下来,以备答辩后论文的修改或拓展。

### 8.5.4 注意文明礼貌

答辩的开头和结尾应注意礼貌问题。对答辩教师的提问、意见和听众的关注表示感谢。

答辩过程是师生交流的过程。答辩小组本着培养学生的目的进行科学严谨的提问和善意的指导。在答辩过程中,学生不应强辩。退一步说,即使是提问教师在提问过程中出现一些纰漏,或和论文意见不同,答辩学生在据理力争时应注意语言上的技巧,要尽可能采用委婉的语言、请教的口气,用旁说、暗说和绕着说的办法,例如: I should have thought you misunderstood some of what I said in my talk just now. / I agree with much of what you said, but for the last point, I would say it would be better if you could look at the problem from another side. / I think you have raised a very good question. But, I have to point out that ... / Personally speaking, I think what you have said also sounds reasonable. However, ... 对这样的辩论,答辩教师不仅不会为难答辩学生,相反会认为其有水平,基础扎实。

## 8.6 答辩成绩评定

每位学生完成毕业论文答辩后,答辩小组成员应该马上就该学生的答辩情况进行评定。如果没有太大的异议,经过简单的商议,根据答辩成绩评分标准评定出学生的答辩成绩,由答辩委员会主席或小组长写出评语,予以公布。下面的论文答辩成绩评定标准是在综合了几所学校评定标准的基础上归纳出来的,仅供参考。

(1) 优秀(相当于百分制 90 分以上):答辩时能简明扼要地阐述论文的主要内容,思路清晰,概念清楚,能准确流利地回答答辩教师提出的所有问题。

(2) 良好(相当于百分制 80~89 分):答辩时能比较流利地阐述论文的主要内容,思路较清晰,概念较清楚,能正确地回答答辩教师提出的与论文有关的问题。

(3) 中等(相当于百分制 70~79 分):答辩时能叙述出论文的主要内容,基本上能回答答辩教师提出的与论文有关的问题,无原则性错误。

(4) 及格(相当于百分制 60~69 分):答辩时能叙述出论文的基本观点,对答辩教师提出的有些问题不能完全正确回答或回答有错误,但经提示和补充说明后能对其进行纠正。

(5) 不及格(相当于百分制 59 分以下):答辩时不能阐述论文的主要内容和基本观点,思路不清晰,概念模糊,对主要问题不能回答或错误较多,经提醒后仍不能正确回答。

学生在论文答辩结束后,会非常关注自己的毕业论文成绩。毕业论文成绩一般包括开题成绩、指导评阅成绩、评定成绩和答辩成绩。关于各部分成绩比例,各级学校的要求各异。建议比例为:开题成绩占 20%,指导教师评阅成绩占 10%,评审成绩占 20%,答辩成绩占 50%。

毕业论文的成绩按百分制记分,其中优秀比例控制在 20%左右。优秀的毕业论文必须参加学院的大组答辩,各专业学生毕业论文成绩总体应呈现正态分布。各学院根据本学院制定的评选细则评选院级优秀毕业论文。申报后,教务处组织专家组参照相关规定,对申报的优秀毕业论文进行评审。教务处公示评审结果,公示时间为一周。经公示无异议并报分管校领导批准后公布评选结果,并由教务处将优秀毕业论文汇编成册。

## 8.7 结语

本章就毕业论文答辩的目的与意义、答辩的具体流程、辩前应做的准备以及论文成绩评定的一般标准做了详细说明。总之,论文答辩是完成毕业论文的最后一环,也是非常关键的一步。了解毕业论文答辩的重要性和答辩程序以及准备工作,可以有效地提高答辩质量。毕业论文答辩之后,答辩学生还应该根据答辩委员会的评判,进一步分析和思考答辩教师提出的意见,总结论文写作的经验和教训,精心修改自己的论文,加深研究,取得更大成果,使自己在知识和能力上有较大的提高。





# 英语专业本科毕业论文 选题参考

## 1. 英语语言学研究选题

序 号	论 文 题 目
1	现代汉语中英语外来词的研究 A Brief Study of English Loan Words in Chinese
2	从词法和句法的若干异同看汉英思维差异 The Difference of Thinking Habits between English and Chinese Brought by Morphology and Syntax
3	商务合同文体特点分析 Analysis of Stylistic Features of Business Contracts
4	中英称谓语跨文化对比研究 A Comparative Study of Chinese and English Address Forms from Cultural Perspective
5	浅析英语中的性别歧视现象 Sexism in English Language
6	商务电子邮件的语言特征分析 A Study on Linguistic Features of Business E-mail
7	广告英语的修辞特点 Rhetorical Features of Advertising English
8	论英语词汇学习中的文化因素 A Brief Study on Cultural Transfer in English Vocabulary Learning
9	政治语言的文体特征 On the Stylistic Features of Political language
10	商务合同英语翻译的语言风格 The Stylistic Features of Business Contracts Translation
11	乔姆斯基语言观的哲学基础 The Philosophical Foundation of Chomsky's Language Concept
12	从认知的角度分析英汉基本颜色词 A Cognitive Approach to Studying English-Chinese Basic Color Terms
13	浅谈英语词汇学习中的中介语石化现象 A Brief Analysis of Interlanguage Fossilization in English Vocabulary Study

续表

序 号	论 文 题 目
14	英语广告中的双关 The Puns of English Advertisements
15	英汉委婉语对比研究 Contrastive Study of English and Chinese Euphemism
16	奥巴马胜选演讲的文体分析 A Stylistic Analysis of Obama's Victory Speech
17	从合作原则看广告语言的会话含义 A Study on Conversational Implicature of Advertising Language from the Perspective of Cooperative Principle
18	从合作原则分析《老友记》中的会话幽默 An Analysis of the Conversational Humor in <i>Friends</i> from the Perspective of Cooperative Principle
19	浅谈英语广告语中的句法和修辞特点 A Study of Syntactic and Rhetorical Features in English Advertisement
20	简析英语委婉语 A Brief Analysis of the Usage of Euphemisms
21	体现在亲属称谓上的文化差异 Cultural Differences as Realized in Kinship Terms
22	跨文化交际中的语用失误 Pragmatic Failures in Cross-cultural Communication
23	英汉称呼使用对比研究 Differences of Addressing Terms in Chinese and English
24	英语广告的语言特点 Linguistic Features of English Advertisement
25	大学生英语写作中的母语负迁移现象研究 The Negative Transfer of Chinese in College Students' English Writings
26	会话中性别差异的语用研究——以《傲慢与偏见》为例 A Pragmatic Approach to Gender Differences in Cross-Gender Conversation—A Case Study of <i>Pride and Prejudice</i>
27	广告语言中的会话含义研究 A Study on Conversational Implicature in Advertising Language
28	从语用学角度分析美国情景喜剧《老友记》中的会话幽默 An Analysis of Conversational Humor in American Sitcom <i>Friends</i> from a Pragmatic Perspective
29	合作原则的违背与语用效果 The Violation of Cooperative Principles and Its Pragmatic Effects
30	英语广告语的语用视角分析 A Pragmatic Analysis of English Advertisement Language
31	从社会语言学角度看电影《窈窕淑女》 A Study of <i>My Fair Lady</i> from the Perspective of Sociolinguistics

## 2. 英语文学研究选题

序 号	论 文 题 目
1	论《呼啸山庄》的哥特式特征 On Gothic Features in <i>Wuthering Heights</i>
2	《推销员之死》中的“美国梦” The “American Dream” in <i>Death of a Salesman</i>
3	《嘉莉妹妹》中的环境因素研究 A Study of Environmental Factors in <i>Sister Carrie</i>
4	从《老人与海》看海明威的生存哲学 Ernest Hemingway's Philosophy of Existence in <i>The Old Man and the Sea</i>
5	论《天路历程》中的宗教寓言 On the Biblical Allegory in <i>Pilgrim's Progress</i>
6	破碎的美国梦——《嘉莉妹妹》主题分析 A Broken American Dream: An Analysis of the Theme of <i>Sister Carrie</i>
7	《呼啸山庄》中的女性意识 Female Consciousness in <i>Wuthering Heights</i>
8	简·奥斯汀在《傲慢与偏见》中的婚姻观 Jane Austin's View on Marriage in <i>Pride and Prejudice</i>
9	试分析《太阳照样升起》中的“迷惘的一代” The Lost Generation in <i>The Sun Also Rises</i>
10	《远大前程》主题分析 An Analysis of the Theme of <i>Great Expectations</i>
11	琳·麦卡洛《荆棘鸟》中女性形象分析 An Analysis of the Female Images in McCullough's <i>The Thorn Birds</i>
12	《德伯家的苔丝》中的宗教暗示与救赎 The Religious Allusion and Redemption in <i>Tess of the D'Urbervilles</i>
13	哈代笔下主人公悲剧的相似历程 Similarities of the Doomed Fate of Thomas Hardy's Main Characters
14	《弗洛斯河上的磨坊》中的爱与责任观 The Concept of Love and Duty in <i>The Mill on the Floss</i>
15	盖茨比的悲剧根源 The Causes of Gatsby's Tragedy
16	论《白鲸》中的复仇 Revenge in <i>Moby Dick</i>
17	《杀死一只知更鸟》写作特点分析 An Analysis of Writing Features in <i>To Kill a Mockingbird</i>
18	论《第二十二条军规》中的讽刺 On the Satire in <i>Catch-22</i>
19	论《傲慢与偏见》中的四种婚姻观 A Study on the Four Types of Marriage in <i>Pride and Prejudice</i>

续表

序 号	论 文 题 目
20	自我意识和不可避免的命运——《可以吃的女人》分析 Self-consciousness and Inevitable Fate: An Analysis of <i>The Edible Woman</i>
21	《傲慢与偏见》与《简·爱》之女主角的比较研究 A Comparative Study of the Heroines of <i>Pride and Prejudice</i> and <i>Jane Eyre</i>
22	论《耻》中之“耻”的含义 The Meanings of Disgrace in <i>Disgrace</i>
23	无助的情侣——论《等待》之“等待”的主题 The Helpless Lovers—On the Theme of Waiting of <i>Waiting</i>
24	人性本恶在《蝇王》中的体现 The Evil Humanity in <i>Lord of the Flies</i>
25	《喜福会》二元冲突分析 Duality of Conflicts in the <i>Joy Luck Club</i>
26	《德伯家的苔丝》中苔丝命运的解读 An Interpretation of Tess's Fate in <i>Tess of the D'Urbervilles</i>
27	怪异的孩子——浅析《水泥花园》中儿童形象 The Weird Children: An Analysis of Children's Images in <i>Cement Garden</i>
28	《推销员之死》悲剧因素分析 An Analysis of Tragic Elements in <i>Death of a Salesman</i>
29	自我的重建——从女性主义的角度看嘉莉妹妹的成长历程 The Rebuilding of Self—A Feminist Reading of Sister Carrie's Growth
30	从《当你老了》看叶芝诗歌的浪漫主义格调 Romanticism in Yeats's <i>When You Are Old</i>
31	后现代主义视野中的《白雪公主》 <i>Snow White</i> in the Field of Postmodern Vision
32	《押沙龙，押沙龙！》的圣经典故分析 Biblical Allusion in <i>Absalom! Absalom!</i>
33	《德伯家的苔丝》中苔丝悲剧命运的分析 An Analysis of the Tragic Destiny of Tess in <i>Tess of the D'urbervilles</i>
34	《红字》中的海斯特·白兰形象解读 Images of Hester Prynne in <i>the Scarlet Letter</i>
35	《飘》与女性意识的觉醒 <i>Gone with the Wind</i> and the Awakening of Feminist Consciousness
36	弗劳伦斯和爱德华的婚姻悲剧分析 An Analysis of Florence and Edward's Marriage Tragedy
37	彬彬有礼的反对派——浅谈福尔摩斯人格魅力 A Chivalrous Opponent—The Charm of Holmes's Personality
38	向死而生——论《挪威的森林》中“死亡”的内涵 Life Facing Death—The Connotation of Death in <i>Norwegian Wood</i>

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序 号	论 文 题 目
39	苔丝的悲剧根源及其对现代女性的启示 On the Roots of Tess's Tragedy and Its Inspiration to Modern Women
40	《呼啸山庄》中的艾米莉式哥特因素 Gothic Elements With Emily Characteristics in <i>Wuthering Heights</i>
41	哈姆雷特的爱的犹豫 The Origin of Hamlet's Hesitation—Love
42	《傲慢与偏见》与现代女性择偶观 <i>Pride and Prejudice</i> and Modern Female Mate Concepts
43	狄更斯与批判现实主义——《远大前程》之分析 Charles Dickens and Critical Realism—An Analysis of <i>Great Expectations</i>
44	论《蝇王》中的人性迷失 On the Lost Human Nature in <i>Lord of the Flies</i>
45	《儿子与情人》中三个女人的悲剧 The Tragedy of Three Women in <i>Sons and Lovers</i>
46	丁梅斯代尔：《红字》中的双面人物形象 Dimmesdale: Double Character Image in <i>the Scarlet Letter</i>
47	论托马斯·哈代的《德伯家的苔丝》的宿命观 A Study on Fatalism in Thomas Hardy's <i>Tess of the D'Urbervilles</i>
48	海明威反战思想在作品中的体现 Hemingway's Anti-War Thoughts in His Works
49	从《飘》中郝思嘉看美国个体主义价值观 The Embodiment of Individualism in Scarlett of <i>Gone with the Wind</i>
50	《弗兰肯斯坦：现代的普罗米修斯》之悲剧性体现 Tragic Aspects in <i>Frankenstein: The Modern Prometheus</i>
51	《格列佛游记》之善与恶 The Good and Evil in <i>Gulliver's Travels</i>
52	保持生命的纯洁性——浅析《道林格雷的画像》主人公人物特性 Maintain the Purity of Life—An Analysis of the Personality of Dorian Gray in <i>The Picture of Dorian Gray</i>
53	《红字》中海丝特·白兰的独立精神探析 The Independent Spirit of Hester Prynne in <i>the Scarlet Letter</i>
54	论《献给艾米丽的玫瑰花》的叙事策略 On the Narrative Techniques in <i>A Rose for Emily</i>
55	分析《飘》中女性独立意识和反抗精神 Feminine Independent Consciousness and Spirit of Resistance in <i>Gone with the Wind</i>
56	简·爱——追求幸福、平等、自由的女性典范 Jane Eyre—A Model in Pursuit of Happiness, Equality and Freedom
57	从女性主义角度解读《紫色》 A Feminism Reading of <i>The Color Purple</i>

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序 号	论 文 题 目
58	从《伟大的盖茨比》看美国梦的破灭 <i>The Great Gatsby: A Disillusionment of American Dream</i>
59	分析哈姆雷特的踌躇 <i>An Analysis of Hamlet's Hesitation</i>
60	分析鲁滨逊的冒险精神 <i>An Analysis of Robinson Crusoe's Spirit of Adventure</i>
61	解读《欲望号街车》中白兰奇的疯狂 <i>A Reading of Blanche's Madness In A Streetcar Named Desire</i>
62	现代女性的原型——《简·爱》中简·爱的人物形象分析 <i>The Prototype of Modern Women—An Image Analysis of Jane Eyre in Jane Eyre</i>
63	从《血字的研究》到《无人生还》——柯南·道尔与阿加莎·克里斯蒂写作风格比较研究 <i>From A Study in Scarlet to And Then There Were None—A Comparative Study of Conan Doyle's and Agatha Christie's Writing Style</i>
64	苔丝悲剧原因探源 <i>Exploration on the Causes of Tess's Tragedy</i>
65	简析《汤姆叔叔小屋》中汤姆叔叔的性格特点 <i>A Brief Analysis of the Characteristics of Uncle Tom in Uncle Tom's Cabin</i>
66	试析欧·亨利短篇小说的写作特色 <i>O. Henry's Writing Style Observed from His Short Stories</i>
67	简析《雾都孤儿》中的善与恶 <i>A Brief Analysis of Beauty and Evil in Olive Twist</i>
68	浅析爱伦坡短篇小说中所体现的哥特主义 <i>An Analysis of the Gothic Elements in Allan Poe's Short Stories</i>
69	《镜花缘》与《格列佛游记》的乌托邦文学视角比较研究 <i>A Comparative Study of Jing Hua Yuan and Gulliver's Travels from the Perspective of Utopian Literature</i>
70	马丁·伊登之死——自然主义的宿命 <i>Death of Martin Eden—An Analysis from the Prospect of Naturalism</i>
71	从《毕司沃斯先生的房子》看文化身份危机 <i>On the Cultural Identity Crisis in A House for Mr. Biswas</i>
72	《伟大的盖茨比》中的象征主义艺术 <i>The Art of Symbolism in The Great Gatsby</i>
73	论《分手清单》中的英式幽默 <i>On the British Humour in His 'n' Hers</i>
74	《红字》中的象征主义——人性与清教的对抗 <i>Symbolism of Confrontation between Human Nature and Puritanism in The Scarlet Letter</i>
75	丑陋的灵魂与迷人的美貌——再评《道林格雷的画像》中的唯美主义 <i>Ugly Soul vs. Charming Beauty—Reevaluation of Aestheticism in The Picture of Dorian Gray</i>
76	《野性的呼唤》中适者生存原则 <i>The Principle of "Survival of the Fittest" in The Call of the Wild</i>

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序 号	论 文 题 目
77	从女性主义视角解读《弗洛斯河上的磨坊》 Interpretation of <i>The Mill on the Floss</i> from the Perspective of Feminism
78	《嘉莉妹妹》与《德伯家的苔丝》中女性角色的比较分析 A Comparison Study of the Female Protagonist in <i>Sister Carrie</i> and <i>Tess of The D'Urbervilles</i>
79	浅析柯南·道尔侦探小说的悬疑设置 A Brief Analysis of the Suspense Setting of Conan Doyle's Detective Stories
80	17 世纪玄学派诗歌中奇喻的哲理 The Philosophy of Conceits in the Metaphysical Poems of the 17th Century
81	欲望——《嘉莉妹妹》的自然主义解读 Desire—A Naturalist Reading of <i>Sister Carrie</i>
82	从海明威小说看其对死亡态度的嬗变 The Evolution of Hemingway's Attitude toward Death as Reflected in His Short Stories and Novels
83	解读《麦田里的守望者》中霍尔顿的心理世界 A Psychological Reading of Holden's Image in the <i>Catcher in the Rye</i>
84	《哈里·波特》中的魔幻意识浅析 Magical Realism in <i>Harry Potter</i>
85	斯嘉丽·奥哈拉：“旧”时代的“新”女性 Scarlett O'Hara: A New Woman in the Old World
86	论罗伯特·布朗宁的《我已故的公爵夫人》中的戏剧独白 On the Dramatic Monologue in Robert Browning's <i>My Last Duchess</i>
87	史蒂芬·克莱恩的《海上扁舟》中的自然主义 Naturalism in Stephen Crane's <i>The Open Boat</i>
88	海明威小说中看其对死亡的态度 Hemingway's Attitude toward Death as Reflected in His Short Stories
89	浅析《飘》中斯嘉丽的挣扎与命运 An Analysis of Scarlett's Struggle and Fate in <i>Gone with the Wind</i>
90	艾德加·爱伦·坡小说中的哥特传统 The Gothic Tradition in Edgar Allan Poe's Fiction
91	浅析《红字》中的象征主义 An Analysis of Symbolism in <i>The Scarlet Letter</i>
92	浅析《伟大的盖茨比》中象征主义手法的运用 A Brief Analysis of The Application of Symbolism in <i>The Great Gatsby</i>
93	哈代小说中女性形象的分析 An Analysis of Female Images in Thomas Hardy's Novels
94	苔丝悲剧的社会原因分析 An Exploration on the Causes of Tess's Tragedy From Social Perspective
95	《傲慢与偏见》中折射出的婚姻态度 Attitude toward Marriage as Reflected in <i>Pride and Prejudice</i>
96	《雾都孤儿》及《远大前程》中儿童形象分析 Child Image in <i>Oliver Twist</i> and <i>Great Expectations</i>



### 3. 跨文化交际研究选题

序 号	论 文 题 目
1	汉英幽默的跨文化研究 A Study on Chinese and English Humor from a Cross-cultural Communication Perspective
2	中英文化中关于礼貌的对比研究 Comparative Study of Politeness in Chinese and English Culture
3	从节日看中西文化的迷信思想 Superstitions Observed Through Chinese and Western Holidays
4	文化冲突——中国学生的留学经历 Culture Shock: What Chinese Students Experience When Studying Abroad
5	浅析中美家庭教育的差异 How to Raise Children: Different Perspectives from Chinese and Americans
6	从奥巴马的演讲中理解美国价值观 Understanding American Values through the Analysis of Obama's Speeches
7	从钓鱼岛事件看中日关系走向 The Trend of Sino-Japanese Relationship as Demonstrated by the Diaoyu Island Dispute
8	商标翻译中的跨文化交流 Intercultural Communication in Translation of Brand Names
9	汉英思维差异对大学生英语写作的影响 The Influence of Differences between Chinese and English Thinking Patterns on College English Writing
10	跨文化交际中的中美文化价值观比较 An Intercultural Comparison Between Sino-American Cultural Values
11	外资或合资企业中的文化问题 Cultural Issues of Chinese Working in a Foreign or Joint Venture
12	习俗与跨文化交际——从传统节日看中西文化差异 Customary Culture and Intercultural Communication —On Cultural Differences from the Perspective of Traditional Festivals
13	洋快餐在中国的文化适应研究 An Analysis of Adaptation of Foreign Fast Food in China
14	中美文化视野中对个人主义的认同差异 Identification with Individualism in Chinese and American Culture—A Contrastive Approach
15	跨文化交际中的文化思维模式 Cultural Thinking Patterns in Intercultural Communication
16	中西方饮食文化对比 On Differences Between Chinese and Western Food Culture
17	论跨文化交流中的面子问题 The Face(Mian Zi) in Cross-cultural Communication
18	中西方婚俗文化差异浅析 On Differences between Chinese and Western Wedding Customs
19	论文化认知在文化休克中的作用 On the Role of Cultural Awareness in Cultural Shock



续表

序 号	论 文 题 目
20	跨文化交流中的礼貌原则: 在中英文日常交流中的对比 Politeness Principles in Cross-cultural Communication: A Comparative Study of the English and Chinese Daily Speech
21	文化语境在跨文化交际中的作用 A Study of Cultural Context in Cross-cultural Communication
22	东西方文化背景中对于动物形象的不同阐述 Different Interpretation of Animals' Image between Chinese and Western Culture
23	简论英汉人名及其文化 Differences of Names in Chinese and Western Culture
24	英汉委婉语使用对比分析 A Contrastive Analysis of Euphemisms in Chinese and English
25	英汉称谓语对比研究 A Study of the Address Form in English and Chinese
26	从餐饮习俗看中美文化差异 Differences between Chinese and American Cultures from Dining Customs
27	从课堂教学看中西方文化差异 Differences Between Chinese and Western Cultures Brought about by Classroom Teaching
28	美国电影中的个人英雄主义 The Individual Heroism in American Movies
29	跨文化交际中的障碍分析 An Analysis of Obstacles in Cross-cultural Communication
30	电影《功夫熊猫》的跨文化分析 A Cross-cultural Analysis of <i>Kung Fu Panda</i>
31	浅谈文化语境对跨文化交际的影响 The Influence of Cultural Context on Cross-cultural Communication
32	跨文化视角下的李安电影 A Study of Ang Lee's Films in Cross-cultural Communication Perspective
33	从跨文化交际的角度浅谈中英文广告语中的差异 The Differences of Advertising Language in Chinese and English from the Perspective of Cross-cultural Communication
34	团队管理中的跨文化交际策略 The Cross-cultural Communication Strategies in Team Management
35	中美灾难新闻报道中的文化因素 Cultural Factors in Chinese and American Disaster News
36	简述美国谚语及其价值取向 A Study on American Proverbs and Values Orientation
37	从电影《刮痧》透出的中美文化差异分析 A Comparative Study of Different Cultural Values Between American and Chinese Culture as Reflected from the Movie <i>Guasha</i>

续表

序 号	论 文 题 目
38	“面子”下的中西方价值观差异 Differences between Chinese and American Values from the Perspective of “Face”
39	中西文化中思维模式的对比研究 A Comparative Study of Thinking Modes in Chinese and Western Culture
40	从广告语看中西方文化的差异 A Study of Cultural Differences in Terms of Advertising Language
41	简析中西方审美文化差异在传统绘画领域中的表现 A Brief Analysis of the Differences between Chinese and Western Aesthetic Culture in the Field of Traditional Painting
42	跨文化交际中的性别差异研究 A Research of Gender Differences from the Perspective of Cross-cultural Communication
43	浅析电影片名翻译中的文化碰撞 On Cultural Collision in Film Title Translation
44	中美高中教育理念比较 A Comparison of Chinese and American Educational Philosophies in High Schools
45	跨文化交际障碍分析——以《刮痧》为例 An Analysis of Obstacles in Cross-cultural Communication—A Case Study of <i>Guasha</i>
46	从颜色词看中西文化差异 Analysis of the Differences Between Chinese and Western Culture in terms of Color Terms
47	中美非言语交际文化差异 Cultural Differences in Chinese and American Nonverbal Communication
48	从礼貌原则分析美国总统在中国大学演讲中的礼貌现象 An Analysis of Politeness in American Presidents' Public Speeches at Chinese Universities—From the Perspective of Politeness Principles
49	跨文化交际：论中西方非语言交际中肢体语言的差异 Cross-cultural Communication: The Differences of Body Language in Non-verbal Communication between Chinese and Westerners
50	非言语交流在跨文化交际中的应用 Application of Non-verbal Communication in Cross-cultural Communication Settings
51	中西方国家餐桌礼仪的对比分析 A Contrastive Study of Table Manners in China and Western Countries
52	男女会话风格差异研究 Study on Differences between Males' and Females' Conversational Style
53	从跨性别交流分析性别差异 A Study On Gender Differences in Cross-gender Communication
54	从英汉会话看中西方礼貌原则 Chinese and Western Politeness Principle from English and Chinese Conversation
55	中西方用餐礼仪的差异 The Differences of Dining Etiquette between Chinese and Western Culture

续表

序 号	论 文 题 目
56	从接受美学角度谈英汉食品广告语中的文化差异 A Study of Cultural Differences in Chinese and English Food Advertisements From the Perspective of Receptional Aesthetics
57	浅析中美家庭教育的差异 An Analysis of the Differences of Family Education between China and America
58	英语专业学生跨文化交际能力的调查研究 A Study of Intercultural Communication Competence of English Majors
59	中西方文化差异在电影《刮痧》中的反映 A Study on Cultural Differences as Reflected in the Film <i>Guasha</i>
60	中西饮食文化差异对比分析 The Differences between Chinese and Western Dietary Cultures
61	中国茶文化和西方咖啡文化的比较 A Comparison Between Chinese Tea Culture and Western Coffee Culture
62	中西方隐私观及其成因对比研究 A Contrastive Study on the Differences between Western and Chinese Concept of Privacy and Their Causes
63	英汉动物词汇文化内涵意义对比研究 The Cultural Connotation of Animal Words in Chinese and English
64	英汉人名命名方式的文化差异 Cultural Differences Between Chinese and American Naming Practices
65	中西方集体主义与个人主义的对比与分析 A Contrastive Analysis of American Individualism and Chinese Collectivism
66	从美国动画电影《花木兰》看中西方文化的碰撞 Collision of the Chinese and Western Cultures in the American Animation <i>Mulan</i>
67	中美价值取向比较研究——基于克拉克洪和斯托特柏克的文化价值取向 A Contrastive Study of Chinese and American Cultural Value Orientations—Based on Kluckhohn and Strodtbeck's Cultural Value Orientations
68	跨文化交际背景下的中英文禁忌语对比研究 A Comparative Study of Chinese and English Taboos in the Context of Intercultural Communication
69	中西方对于时间观差异的解析 A Contrast between Chinese and Western Time Concept from the Perspective of Cross-cultural Communication
70	中西方女性称谓语的对比研究 A Comparative Study of Addressing Forms for Female in English and Chinese
71	文化视角下的中西方身体语言对比研究 A Comparative Study on Body Language in Western and Chinese Cultures
72	中国七夕与西方情人节的比较研究 Comparison of Valentine's Day in Western Culture and Double-Seventh Day in Chinese Culture
73	中西酒文化之比较研究 A Comparative Study of Wine Culture between China and the West
74	中西文化中的面子观对比 A Comparative Study of Face in Chinese and Western Cultures

续表

序 号	论 文 题 目
75	浅析博客对记者受众的关系影响 An Analysis of the Impact of Blogging on the Relationship between Journalists and Audiences
76	好莱坞电影里的中国元素 Chinese Elements in Hollywood Films
77	从英汉委婉语对比中透析中西文化差异 English and Chinese Euphemisms: A Comparison between Their Cultural Implications
78	浅析中国当代艺术中的西方化现象 An Analysis of Westernization in Chinese Contemporary Art
79	跨文化交际中的社交语用失误及对策分析 A Study of Sociopragmatic Failures in Cross-cultural Communication and its Countermeasures
80	从高低语境文化的角度分析电影《窈窕淑女》 Examining the Film <i>My Fair Lady</i> from the Perspective of High and Low-context Cultures
81	中西方媒体对突发灾难的报道差异性探究——以《人民日报海外版》和《纽约时报》对东日本大地震报道为例 Exploring Differences in Coverage on Sudden Disasters between Chinese and Western Press—A Case Study of Reports on the Great East Japan Earthquake by <i>New York Times</i> and <i>People's Daily Overseas</i>

## 4. 英语翻译研究选题

序 号	论 文 题 目
1	英汉习语的对比与翻译 On the Differences and Translation of English and Chinese Idioms
2	文化差异对习语翻译的影响 The Influence of Cultural Differences on English and Chinese Idioms Translation
3	英汉翻译中语法衔接手段对比研究 A Contrastive Analysis of Grammatical Cohesive Devices in English and Chinese Translation—A Case Study of <i>Six Chapters of Floating Life</i>
4	论翻译中的句尾重心和句尾焦点问题 On “End Weight” and “End Focus” in Translation
5	论翻译过程中的增译与省译的使用 On the Amplification and Omission Technique in Translation
6	论幽默的不可译性 On Untranslatability of Humor
7	从文化角度分析英汉电影名的互译 Translation of Movie Titles from Cultural Perspective
8	广告中双关语及其翻译对策 Punning in Advertisements and Translation Methods
9	英汉动物词汇文化内涵对比与翻译 On the Cultural Connotation and Translation of Animal Words in English and Chinese
10	论汉英语言的意合与形合 On Parataxis and Hypotaxis in Chinese and English

续表

序 号	论 文 题 目
11	从文化视角探讨英汉谚语翻译策略 On Proverb Translation Strategies from Cultural Perspective
12	翻译中的中式英语现象——以北京市旅游景点的翻译为个案 “Chinglish” in Chinese-English Translation—A Case Study of Translation in Scenic Spots in Beijing
13	中英动物语汇象征意义与翻译比较 The Comparative Study on the Symbolic Meaning of English and Chinese Animal Words and Its Translation
14	从跨文化交际角度看广告翻译 Advertising Translation in Cross-Cultural Perspective
15	从目的论角度谈英语电影名的翻译 On the Translation of English Film Titles from the Perspective of Skopos Theory
16	英汉礼貌用语对比分析 A Contrastive Study of Courtesy Language in English and Chinese
17	英汉双关语对比研究 A Comparative Study on Pun and Shuangguan
18	电影片名翻译中归化与异化策略分析 Domestication and Foreignization in Film Title Translation
19	汉英翻译中的中式英语现象 A Tentative Study on Chinglish in Chinese-English Translation
20	中国菜谱中的隐喻及其翻译 Metaphor in Chinese Menu and Its Translation
21	中西思维方式差异对翻译的影响 Effects of the Differences Between Chinese and Western Thinking Patterns on Translating
22	英汉幽默语言对比 Comparison between Chinese and English Verbal Humor
23	谈美国现代俚语及其翻译 On Modern American Slang and Its Translation
24	英汉新闻翻译的共同点及差异 Comparison and Contrast between Chinese and English News Translation
25	外宣与异化、归化翻译策略的选择——以《红楼梦》人物姓名英译为例 Priority to Domestication or Foreignization in Spreading Chinese Culture to the West: A Case Study Based on the Analysis of English Translation of Personal Names in <i>Hong Lou Meng</i>
26	英语电影片名的特征与翻译 English Film Titles: Features and Translation
27	外宣翻译中的文化缺省及其重构 Cultural Default and Reconstruction in Foreign Publicity Translation
28	《边城》及其英译本衔接手段对比研究 A Contrastive Study of Cohesive Devices in <i>Biancheng</i> and Its English Version

续表

序 号	论 文 题 目
29	功能对等理论在同声传译中的应用 The Application of Functional Equivalence in Simultaneous Interpretation
30	从词类转换角度分析张培基的英译散文《梦》 The Analysis of Translation in the Conversion of <i>Dreams</i> by Zhang Peiji
31	英语歌曲翻译初探 Approaches to Translation of English Songs
32	英汉语衔接手段对比及其翻译 The Contrastive Analysis of Cohesion Devices in English and Chinese and Their Translation
33	英语习语的翻译研究 The Study of English Idiom Translation
34	《生活大爆炸》字幕翻译中的归化现象 Domestication Strategies Applied in the Subtitle Translation of <i>The Big Bang Theory</i>
35	从字幕翻译看幽默效果的实现 On the Achievement of Humorous Effect from the Perspective of Subtitle Translation
36	中英颜色词的文化差异及翻译 Cultural Differences and Translation in Chinese and English Color Words
37	英语广告的特点及翻译策略 Features of English Advertisements and their Translation Strategies
38	浅论《围城》中称谓语的翻译策略 An Analysis of the Translating Strategy of Address Forms in <i>Fortress Besieged</i>
39	英译汉中词类的转换 Conversion of Part of Speech in English-Chinese Translation
40	浅析中式英语对汉英翻译的干扰 A Brief Study of Chinglish Problems in C-E Translation
41	汉语流行语的翻译策略 Translation Strategies of Chinese Vogue Expressions

## 5. 英语教学研究选题

序 号	论 文 题 目
1	英语学习中学习动机的影响 Effects of Learner's Motivation on English Learning
2	中外幼儿英语教师教学风格对比 The Comparison of Teaching Styles between Chinese and Foreign English Teachers in Preschool of China
3	教唱歌 学英语 English Songs in a Chinese Classroom
4	论互动和英语语言教学 On Interaction and English Language Teaching

续表

序 号	论 文 题 目
5	浅论个性化教学及其对英语学习的影响 Understanding Personalized Learning and Its Effects on Students' English Learning
6	任务教学法与英语语言教学 The Task-based Approach to English Language Teaching
7	自主学习对大学生英语学习的影响 The Impact of Autonomy on Language Learning
8	语境在英语阅读理解中的作用 The Role of Context in English Reading Comprehension
9	英语学习者文体意识分析——耿丹学院英语专业学生英语书面语中的口语化倾向 An Analysis of Style Awareness in English Learners—Colloquial Trend in Written Language Among English Majors in Gengdan Institute
10	交际教学法及其对英语教学的影响 Communicative Approach and Its Impact on English Teaching
11	中西方思维方式差异对中国学生英语写作的影响 Differences of Chinese and English Thinking Patterns and Their Influence on Chinese Students' English Writing
12	从以学生为主的教学浅谈中英教学模式 On Teaching Models of China and Britain from Student-centered Teaching
13	初级英语教学中的肢体语言 Body Language in Primary School English Teaching
14	在英语写作和口语中母语的干扰 The Interference of Native Language in English Writing and Speaking
15	浅析学习动机对英语学习的影响 The Impact of Motivation on Students' English Learning
16	游戏法在小学英语词汇教学中的实验研究 An Experimental Study on Teaching English Vocabulary through Games in Primary School
17	有效的英语听力方法对大学生听力学习的影响 The Impact of Effective Teaching Methods of English Listening on College Student's Listening
18	学习方法对英语听力的影响 The Impact of Learning Methods on English Listening Comprehension—A Case Study in Gengdan Institute
19	肢体语言及其在英语教学中的应用 Body Language and Its Application in English Language Teaching
20	语境在英语阅读理解中的作用 The Role of Context in English Reading Comprehension
21	浅论英语词汇学习方法 A Brief Study on Learning Methods of English Vocabulary
22	浅谈阅读中大学英语词汇的学习 On College English Vocabulary Learning in Reading
23	浅谈小学的双语教学 On Bilingual Education in Primary School

续表

序 号	论 文 题 目
24	游戏在儿童英语教学中的应用 Games in Children's English Teaching
25	大学生英语听力常见障碍及应对策略 Strategies for Removing the Obstacles in College English Listening
26	耿丹学院英语专业学生自主学习调查 A Survey of the Autonomous Learning of English Majors at Gengdan Institute
27	浅析学习动机对英语学习的影响 A Brief Study of Motivation and Its Effect on English Learning
28	语境在英语阅读理解中的作用 Improving English Reading from the Perspective of Context
29	浅论个性化教学及其对英语学习的影响 Understanding Personalized Learning and Its Effects on Students' English Learning
30	浅论学习英语阅读的有效方法 A Brief Study on Effective Learning Methods on English Reading

## 6. 商务英语研究选题

序 号	论 文 题 目
1	商务英语信函中的礼貌策略研究 A Study on Politeness Strategies in English Business Letters
2	外国企业及其商标品牌的语言特点和翻译 Features of the Translation of the Foreign Enterprises and Its Brands
3	外贸英语中解释性词语的应用 The Application of Explanatory Terms in Foreign Trade English
4	跨文化商务沟通的有效性 Effective Cross-cultural Communication In Business Negotiation
5	外贸英语信函的文体特征分析 Stylistic Feature Analysis of Business English Letters
6	体态语在国际商务谈判中的应用 Body Language used in International Business Negotiations
7	中美谈判风格比较 A Comparison between Chinese and American Negotiating Styles
8	跨国公司的公司文化——一个案例分析 Corporate Culture of an International Company: a Case Study
9	文化因素对国际商务谈判的影响 On Influence of Culture in International Business Negotiation
10	中美商务文化对比 Comparison between Chinese and American Business Culture
11	委婉语在商务英语谈判中的语用功能及表达方式 The Pragmatic Functions and Expression Forms of Euphemism in Business English Negotiation



续表

序 号	论 文 题 目
12	中美企业跨文化管理的影响因素及对策 Research on the Influential Factors and Strategies of Cross-cultural Management in Chinese and American Corporations
13	英文表达在商务文件中的特点 The Features of English Expression in Business Documents
14	商务英语信函中礼貌策略运用的研究 A Study on Politeness Strategies in English Business Letters
15	商务合同的语言特征及翻译原则 A Study on Linguistic Features and Translation Principles of Business Contracts
16	论商务合同中英语翻译的准确性问题 The Accuracy of English Translation in International Contract
17	商标翻译的语用特点及其文化内涵 Pragmatics and Cultural Features of the Translation of the Trade Marks
18	外贸英语词语的特点及翻译 Features of Translation in Foreign Trading
19	商标中的文化因素及其翻译策略 Cultural Factors in Brand Names and Their Translation Strategies
20	礼貌原则在商务谈判中的应用 Politeness Principle in Business Negotiation
21	商务谈判中的语言策略 Linguistic Strategies in Business Negotiation
22	尼桑汽车在中国汽车市场的成功 The Analysis of Nissan Success in Chinese Automobile Market
23	苹果的崛起和诺基亚的没落 The Rise of Apple and the Decline of Nokia
24	面子理论在酒店销售话语中的应用 The Application of Face Theory in Hotel Sales

# 附录 B



## 国内外英语学科部分权威期刊信息

### 1. 外国语文

期 刊 名 称	主办（管）单位	CN 号
外语教学与研究	北京外国语大学	CN11-1251/G4
外语界	上海外国语大学	CN31-1040/H
外国语	上海外国语大学	CN31-1038/H
现代外语	广东外语外贸大学	CN44-1165/H
中国外语	高等教育出版社	CN11-5280/H
中国翻译	中国外文局对外传播研究中心等	CN11-1354/H
外语电化教学	上海外国语大学	CN31-1036/G4
外语教学理论与实践	华东师范大学外语学院	CN31-1964/H
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# 附录 D



## 英语专业毕业论文一般格式 参考与要求

**NATURALISM IN STEPHEN CRANE'S *THE OPEN BOAT***  
—A Reader-Response Interpretation of...

BY ZHANG SAN

Under the supervision of  
LI SI

A Thesis Submitted to the  
Department of ...

in Fulfillment of the Requirements

for the Degree of Bachelor of Arts

College of ...

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May, 2015

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## Acknowledgments

At the completion of this graduation thesis, I would like to express my sincere gratitude and respect to all those who have made contributions. Without their assistance, the accomplishment of this thesis could not have been possible.

First and foremost, I wish to extend my heartfelt appreciation to my respected supervisor Ms./Professor XXX, for his/her professional guidance and meticulous revision. During the process of writing this thesis, he/she sacrificed his/her precious time to help me gather lots of valuable materials. He/She also answered my questions as thoroughly and accurately as possible. Additionally, he/she offered me his/her insightful advice on the structure and the contents of this thesis and instructed me to polish the language. I am greatly indebted to his/her timely support and continual encouragements. But above all, he/she aided me to clarify my thought and sharpen my thinking.

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Last but by no means least, I feel so grateful to my beloved parents who not only give me their selfless love and tender care but support me to follow my own heart and pursue what I am really passionate about.

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## Abstract

Stephen Crane is one of the greatest figures in the history of American literature. His novella *The Open Boat* is widely known by people all over the world. This graduation thesis aims at exploring Naturalism in Stephen Crane's *The Open Boat*, which will guide the readers to digest American Naturalism accurately and thoroughly. This thesis firstly introduces the author and his novel *The Open Boat*. Secondly, it progressively dissects Naturalism. To begin with, it analyses the general characteristics of Naturalism with details in *The Open Boat*. Then it interprets the distinguishing features of American Naturalism so that readers can better understand the features of American Naturalism. On the basis of the previous analyses, it further studies the unique characteristics of Stephen Crane's Naturalism and lays particular emphasis on Crane's special concern on the awakening of humanity. Lastly, a conclusion of Stephen Crane's *The Open Boat* being a representative work of literary Naturalism is reached. It is hoped that this thesis can help readers get an in-depth comprehension of Naturalism and gain inspiration from *The Open Boat*.

**Keywords:** *The Open Boat*; naturalism; characteristics; humanity

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## 摘 要

史蒂芬·克莱恩是美国文学史上最伟大的人物之一。他的短篇小说《海上扁舟》被世人所熟知。本文旨在探讨史蒂芬·克莱恩的《海上扁舟》中的自然主义，以引导读者准确、深入地理解美国自然主义。首先，本文介绍作者和《海上扁舟》一书。其次，本文循序渐进地剖析自然主义。先结合《海上扁舟》中的细节，分析自然主义的一般特征。然后，解读美国自然主义的区别性特征，以帮助读者更好地把握美国自然主义。在之前分析的基础上，进一步研究史蒂芬·克莱恩自然主义的独特特征，并特别强调克莱恩对人性唤醒的特别关注。最后，得出结论：史蒂芬·克莱恩的《海上扁舟》是自然主义文学的代表作。希望本文能够深化读者对自然主义的理解，并从《海上扁舟》中得到启迪。

**关键词：**《海上扁舟》；自然主义；特征；人性

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## 1 Introduction

### 1.1 Stephen Crane and *The Open Boat*

#### 1.1.1 Stephen Crane

Stephen Crane, the American brilliant novelist and poet, has always been regarded as “one of the forerunners of American Naturalism” (Jabbar, 2005, p. 34). Throughout his short life, he created a large number of praiseworthy works. His first novel, *Maggie: A Girl of the Streets*, is “a milestone in the development of literary Naturalism” (Bhatnagar, 2001, p. 360). The one which truly establishes his unshakeable status in American literature is his second war novel *The Red Badge of Courage* which is critically acclaimed. Besides, he is also renowned for his two poetry anthologies, *The Black Riders* and *War Is Kind*, and considerable short stories, among which *The Open Boat*, *The Blue Hotel*, *The Bride Comes to Yellow Sky*, and *The Monster* have attracted widespread attention.

His writing, which is consistently characterized by “immediacy, vividness, intensity and irony” (*Encyclopaedia Britannica*, 2014), has brought influence upon numerous prominent writers. Three of them that have to be mentioned are Ernest Hemingway, the winner of the 1954 Noble Prize in Literature, Eugene O’Neill, the laureate of four Pulitzer Prizes, and Norman Mailer, the greatest contemporary writer in American.

#### 1.1.2 *The Open Boat*

*The Open Boat*, published in 1897, is often considered to be an exemplary work of literary Naturalism, in which the overriding principle of objectivity is applied to the research of human characteristics. H. G. Wells once wrote that *The Open Boat* was “beyond all question, the crown of all his works” (1900, p. 240) and the English poet Robert Bridges complimented the story in his review for *Life*, stating that Crane “has indelibly fixed the experience on your mind, and that is the test of a literary artisan” (*Encyclopaedia Britannica*, 2014).

This short story is the recollection of Stephen Crane’s miserable experience as a newspaper correspondent shipwrecked while on an expedition to the Cuban revolutionaries. This is actually in line with one of the features of Naturalism “authenticity”, which emphasizes the importance of being faithful to the truth. In fact, it coincides with the leader of literary Naturalism Émile Zola’s self-narration in *Letters* that he says and records nothing more than what he sees and he leaves moralists to put forward moral lessons. *The Open Boat* tells a story of four pitiful men, the correspondent, the captain, the cook and the oiler, in a tiny boat struggling against hostile natural environment through cooperation. In the short story, the barbarously abrupt and tall waves obviously stand in sharp contrast to the dingey, which shows the

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fact that people's meager power cannot counter nature and the destiny of human beings is dominated by nature.

## 1.2 Literature Review

When speaking of the characteristics of Naturalism, the book called "An Outline of American Literature" (Wu, 2013) should be mentioned. The author Wu Dingbo has given his specific perspectives: first, humans lack free will and are governed by the laws of heredity and environment; second, the universe is cold and hostile to human wants; third, the targets of naturalists are the people living in the slum and they describe the real life of poverty and crime. As a matter of fact, he states the major features at the macro level. Though the analysis lacks depth, it still has its value as research materials.

Regarding American Naturalism, some scholars would like to study the origin of American Naturalism, such as Chang Zhiyong's "American Naturalistic Literature and Its Reflection in *The Open Boat*" (2011). Chang Zhiyong thinks that there are four elements which prompt American Naturalism to come into being, that is, Charles Darwin's theory of evolution, Herbert Spencer's social Darwinism, French Naturalism and the American social conditions. His investigation of the origin of American Naturalism is thorough enough. In reality, his analysis is in accordance with Shi Zhikang's in "An Outline of Backgrounds of American Literature" (1998).

As far as the characteristics of American Naturalism are concerned, Ren Haiyan's "An Analysis of American Naturalism" (2003) indicates six features, they are objectivity, frankness, humans' sense of alienation, determinism, pessimism and dying or morbid strong persons, while Gao Fei's "A Struggle Against the Indifference—*The Open Boat* in the Perspective of American Naturalism" (2004) explores two characteristics, they are optimism and rugged individualism. In actuality, Ren Haiyan's analysis is not accurate enough, because it is not so much on American Naturalism as on Naturalism. On the contrary, Gao Fei's statement is worth reference. Incidentally, if the six features act as the characteristics of Naturalism, Ren Haiyan's summary is very accurate and comprehensive.

To analyze Stephen Crane's Naturalism, a journal article entitled *Stephen Crane's Status as the Pioneer of American Naturalistic Literature* (2010) by Tong Lin fully probes Stephen Crane's unprecedented adoption of psychological depictions and his special focus on human, humans' ability to awaken and self-acceptance in his three outstanding Naturalistic creations. The sufficient evidence in her MA thesis is strong enough to justify Stephen Crane's status as a pioneer of American Naturalism.

## 1.3 The Aim and Significance of This Research

Although former scholars have done different aspects of studies on *Naturalism in The Open Boat*, few have step by step studied the features of Naturalism, American Naturalism and Stephen Crane's Naturalism through detailed analyses of *The Open Boat*. And integrated researches of Stephen Crane's Naturalism are rare, except Tong



Lin's MA thesis.

Literature research is the study method adopted in this graduation thesis. To begin with, this thesis is designed to unearth all the persuasive points embodying the naturalistic tendency from the perspective of the general characteristics of Naturalism and then analyze the distinguishing features of American Naturalism, which is beneficial to forming a systematic and thorough understanding of American Naturalism. Moreover, this thesis will guide the readers to interpret Stephen Crane's distinctive Naturalism which is an important part of American Naturalism. Through careful analyses, the readers are expected to comprehend Naturalism and its embodiments in *The Open Boat* deeply.

## **2 The Embodiment of Naturalism in The Open Boat**

### **2.1 General Characteristics of Naturalism in The Open Boat**

The last decade of the nineteenth century had witnessed a new literary trend called Naturalism which was first presented by the French writer and theorist Émile Zola. It mainly stresses the impact of heredity, environment and chance upon a man's characters and behaviors. As an independent literary genre, it also possesses its own particular features, namely detachment, determinism and pessimism.

#### **2.1.1 Detachment**

One of the primary characteristics of literary Naturalism lies in detachment. In effect, Stephen Crane shows great interest in "choosing a detached and scientific observer's point of view to deal with one of his characteristic subject matter: the dominant theme of nature's indifference to humanity's fate" (Wu, p. 130). In view of this, detachment can be split into two aspects.

First of all, detachment means the use of the third-person narrative mode and the anonymous characters. Stephen Crane distances himself from his writing and just appears as a bystander or an outsider who narrates the story without containing subjective judgments and emotional colors. One can discover without much difficulty that throughout *The Open Boat* the characters are all mentioned either as "he" or "they", or "the men", or by their job title, but never as "I" or "we" (first-person), or "you" (second-person), or by their exact names. The reason why Crane maintains detachment is that he wants the readers to concentrate on the painful experience and the psychology of the characters and the reaction of nature rather than purely focusing on the plot.

From another aspect, detachment refers to nature being nonchalant to human sufferings. Mentioning Jack London, Theodore Dreiser and Stephen Crane, E. Ronald Martin has ever given the view that in their creations readers can know very clearly "how depressing, amoral, and absurd the universe can appear to man" (1981). In *The Open Boat*, the small dingey contrasts starkly with the turbulent sea. Even if the four castaways have smoothly surmounted one wave, they find that there is another one

which is dying to overturn the boat. Nature is apparently an onlooker turning a blind eye to humans' perilous situations. The unhelpful nature drives the men to become cynical. The more they complain about and blaspheme the seven mad gods or Fate, the more apathy nature unmasks. After despairing over and over again, they are gradually aware that nature does not count them as important. No wonder the thought suddenly strikes the journalist when he faces the tall wind-tower, "She did not seem cruel to me, nor beneficent, nor treacherous, nor wise. But she was indifferent, flatly indifferent" (Tao, 2011, p. 118). A poem from Crane's *War is Kind and Other Lines* precisely echoes nature's disinterest:

A man said to the universe:  
"Sir, I exist!"  
"However," replied the universe,  
"The fact has not created in me  
A sense of obligation." (1998, p. 36)

Indeed, nature is barely a relentless mechanism. She coldly fixes her eyes on those who make their great efforts to survive. She is indiscriminate. She will neither be the friend of human beings nor be the enemy of mankind.

### 2.1.2 Determinism

Determinism, the second defining feature of literary Naturalism, portrays characters impelled not by free will or ethics and morals but rather by mysterious fate or natural forces. "They can react toward the interior and exterior forces, yet they are helpless before these forces" (Lin, 1989, p. 528). Thus it can be seen that determinism can be elaborated at two levels.

At a general level, the lot of humankind is predetermined. The four characters have no free will to control over the boat when it crashes over the waves. Instead, they have to roll with the punches and go with the flow, so to speak, they are all the chessmen of Fate. As it is in the story, shipwrecks are beyond all expectations. Hence, men can not make full preparation for pink conditions beforehand. They have no choice but to accept the arrangement of the unpredictable destiny. Beyond that, Fate cares nothing about how hard men work. According to Duan Hanwu and Fan Yi (2009), from the standpoint of Charles Darwin's Theory of Evolution, the strong oiler who not only devotes himself to his duty but also swims rapidly in the race does deserve nothing less than to survive. However, Fate entertains him with "the different and sinister hospitality of the grave" (Tao, p. 121) in place of warmth and generosity. Incredibly, he is the only one who doesn't escape from death with success.

At a detailed level, it is conspicuous that the fate of the four characters is

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completely decided by natural environment. In the story, fierce wind, sea waves, gulls and sharks as symbols of nature evidently threaten the castaways' lives all the time. The scene that flocks of gulls fly over the sea is originally fantastic; nevertheless, the crews see the gulls' steady gaze as uncanny and ominous scrutiny. The oiler even swears the small gull which attempts to sit upon the top of the captain's head as "ugly brute" (Tao, p. 106), while the cook and the correspondent curse it to be "made with a jack-knife" (Tao, p. 106). And the captain just lightly and warily waves them away. The reason why they behave in such an unusual way is that they think the gull may potentially capsize this freighted boat. Here the lot of the men is not determined by themselves but by the seagulls and they are at the mercy of nature. In the meantime, the example of gulls shows that nature makes a mock of men. In addition, the stationary seaweed plays an important role as well in informing the men in the boat that it is "making progress slowly toward the land" (Tao, p. 107).

All the above examples are sufficient to mirror the thought of determinism where people's destiny is preordained and they are powerless to change the status quo. The thing which they can do is trust to luck in that all their endeavors will turn out to be futile.

### 2.1.3 Pessimism

Another characteristic of literary Naturalism is pessimism, where characters are apt to have a state of mind in which they foresee unfavorable consequences. This sentiment pervades the whole story, which can be perceived from "the characters' expressions and actions" (Li, 2010, p. 105). Take the opening of the story for instance. The correspondent pulls at the oar with regret and disappointment and also keeps wondering why he is in peril. The injured captain sinks into deep depression and nonchalance. Although he wants to boost morale, his voice is odd and full of grief. Actually, his superficial courage can hardly conceal his inner panic.

Furthermore, pessimism is sometimes intensified and sometimes reduced. Take the lighthouse at Mosquito Inlet as a wedge. At first, it is a glimmer of hope in desperation, therefore the men hold on to this life-saving straw tightly. Under the effect of it, doubt and direful apprehension subside. They imagine that somebody will come to save them if he looks through a glass. Nonetheless, the repeated short sentence "Funny they don't see us?" (Tao, p. 109) explains that they become immersed in helplessness after waiting for a long time. Pessimism is gradually elevated to a high level. As can be seen from the following sentences, "The light-heartedness of a former time had completely faded. And it was easy to conjure pictures of all kinds of incompetency and blindness and indeed, cowardice" (Tao, p. 110).

From what has been discussed above, a conclusion can be drawn that pessimism is the dominant tone of Naturalistic works. It sometimes highlights the inevitability of death. Under the threat of looming Death, people's awareness toward death likewise becomes increasingly clear and definite.



## 2.2 Distinguishing Features of American Naturalism

Literary Naturalism was first introduced to America by the American novelist Frank Norris who wrote predominantly in the naturalist genre. “Charles Darwin’s theory of evolution, Herbert Spencer’s theory of social Darwinism, French Naturalism represented by the founder of Naturalism Émile Zola, and the American social conditions after the Civil War” (Chang, Z. Y., 2011, p. 49) all accelerated the emergence and development of American Naturalism. Since American Naturalism had developed on the basis of Naturalism, two main distinct characteristics will be dissected. They are the exploration of the forbidden subjects and the preservation of optimism.

### 2.2.1 The Exploration of the Forbidden Subjects

Wu Dingbo has ever come to the conclusion that “Generally speaking, American naturalists shared similarities in theme and they ventured the forbidden subjects such as sex, death, and violence” (2013, p. 139).

With respect to sex, Theodore Dreiser, labeled as the eminent representative of Naturalism, successfully shapes a disgusting and morally corrupt image of the heroine Sister Carrier who betrays her own body in exchange for material lust. When it comes to violence, the celebrated American female writer Joyce Carol Oates must be noted on account of her skill in exposing the violent and dark side of American society. Her *Them* well reflects the protagonists’ compromise and final surrender in the combat against the violent environment for selfhood.

Nonetheless, Stephen Crane shows especial concern over death in *The Open Boat*. “He ingeniously puts the characters onto the lifeboat and lets them undergo the test of death” (Tong, 2010, p. 16). Under harsh environmental conditions, death may occur at any time. But Crane has not evaded the taboo subject. Instead, he lets it naturally unfold with the progress of the plot. In the end of the story, he makes people realize that death is, in effect, the “final phenomenon of nature” (Tao, p. 120).

All in all, one of the great achievements of American Naturalism is the exploration and innovation of subjects. American naturalists were courageous enough to lay bare the prevalent social evils at that time without deliberately avoiding forbidden subjects.

### 2.2.2 Preservation of Optimism

R. W. Horton has ever commented on American Naturalism, “Though gloomy, pessimistic, and often bitter, American Naturalists could not accept the deterministic attitude of the complete helplessness of man and the view of an amoral and predatory universe” (Chang Y. X., 2008, p. 142). Even though one feature of Naturalism is pessimism, American naturalist works greatly weaken negative emotions. As we all know, America is an ethnic melting pot, so American personality traits are comprehensive with “heroism, individualism and romanticism” (Ren, 2003, p. 98). Likewise,

the tough circumstance during the pioneering period cultivated American optimistic attitude, entrepreneurial spirit and persistent character. In consequence, optimism is integrated into American Naturalism.

*The Open Boat* cannot purely be counted as a tragic story for the four leading characters keep a positive attitude and never give up hope throughout the process. They all try to lift morale by convincing that they will eventually get rescued. This is embodied not only in their “leisure” conversation but in their determined expression. In the story, the cook and the correspondent have a heated discussion about the difference between a life-saving station and a house of refuge. No matter whether their saying is accurate or not, the life-saving station and the house of refuge, which are, to some extent, the symbols of hope to life, serve as all encouragement to the four. Besides, when the captain asks whether they will be saved, the other three all respond positively. When the situation gets slightly better, they all doubtless possess optimism in their mind. When they think reaching the shore becomes possible, they can not prevent a quiet delightfulness. “An assurance of an impending rescue also shines in their eyes” (Tao, p. 109).

Though *The Open Boat* is filled with pessimism, the irrepressible optimism of the characters is fully unleashed. Concerning the above mentioned, preservation of optimism is undoubtedly the most salient feature of American Naturalism, which is unlike the depressive and pessimistic mood of French Naturalism.

### 2.3 Uniqueness of Stephen Crane's Naturalism

American critics have ever given their comment that Stephen Crane's Naturalism is “the most pure branch of the mainstream of American Naturalism” (Shi, 1998, p. 116). Thus Stephen Crane's Naturalism is still an indispensable part of American Naturalism, though there exist some breakthroughs. This part will lay stress on investigating two unique characteristics of Stephen Crane's Naturalism, scilicet the psychological descriptions and the awakening of humanity.

#### 2.3.1 Psychological Depictions

Tong Lin once pointed out, “To argue Crane's status as a pioneer of American Naturalism, his unprecedented adoption of psychological depictions should be highlighted” (2010, p. 26). And what has first brought Stephen Crane good social reputation is the minute and excellent descriptions of the protagonist Henry Fleming's psychological growth from immaturity to maturity in *The Red Badge of Courage*. Surely, he is the first person who applies psychological depictions to American Naturalism.

*The Open Boat* is not just a story giving expression to human struggle against nature. By describing the hazardous surroundings, Crane does his utmost to portray a bleak and grim picture with vivid descriptions and flawless artistry. The intent is to particularly underline the transition of the psychological state of the characters other than the process of how they fight. We can clearly notice the rising and falling of the



four men's hopes when a new danger threatens them.

At the very beginning, those specific depictions about the four characters indicate that they are in extreme panic. And their constant fear of death can be sensed through their complex psychological movement. After they detect the lighthouse at Mosquito Inlet in the distance, they tend to feel better about their plights, hence they have more energy and yearn for survival. Later on, the house of refuge gives them another slim chance of survival. This time they begin to smoke cigars without fear. However, when there seems to be no signs of life, they repeatedly say "Funny they don't see us" (Tao, p.109) three times. This sentence is, in fact, the reflection of their common mentality which reveals their inward conflicts with life and death. Their anxiety is intensified every time. Finally anger boils over. Take their collective inner monologue as an example.

"If I am going to be drowned—if I am going to be drowned—if I am going to be drowned, why, in the name of the seven mad gods who rule the sea, was I allowed to come thus far and contemplate sand and trees? Was I brought here merely to have my nose dragged away as I was about to nibble the sacred cheese of life? It is preposterous. If this old ninny-woman, Fate, cannot do better than this, she should be deprived of the management of men's fortunes. If she has decided to drown me, why did she not do it in the beginning and save me all this trouble....But, no, she cannot mean to drown me. She dare not drown me. She cannot drown me." (Tao, p.110)

On the whole, the tone of this monologue is very bitter and frustrating. The men's inward repetition of the word "drown" obviously mirrors their misgivings about the current situation. They are all struggling both physically and mentally with it. Nevertheless, they can turn to nobody to pour out their overwhelming psychological pressure, which arouses readers' great sympathy. Then the four men are perplexed as they don't know why Fate has chosen this path for them, or why they have been permitted to survive for so long if they are doomed to die. Later they swear unscrupulously, which acts as a strong indication of their emotional affliction. Besides, by reading through the whole soliloquy, it is not difficult to find that they keep asking themselves whether they will be drowned and in the end they answer their own questions by saying, "she cannot mean to drown me. She dare not drown me. She cannot drown me" (Tao, p.110). It looks like that there are two selves arguing in their heart. Their anxiety grows unconsciously as they try to confirm themselves that Fate will not drown them. At last, the optimistic self wins, for their voice becomes firm. They successfully convince themselves that the salvation will come; therefore, they still combat with Fate and try their best to get close to the shore.

After a while, their seeing some men in the shore rekindles a spark of hope. They are inclined to get caught in the fantasy that those men will have a boat out here immediately since they've seen them. It is ironic that those men do not mean to come

to the rescue. This is another mortal blow to their psychological line of defense. Annoyance and despair occupy their mind so that they have the same interior monologue as above. But this time the tone is more subdued, showing their weakening mental state. They are still thwarted and confused. They still think that the situation is unjust. Yet it doesn't take long to find that the rant is shorter than the previous one which helps to explain that they start to lose their drive to survive. At this moment, they are all depressed and listless and feel physically and mentally exhausted.

Later, when the correspondent is alone with the shark, he repeats the above-mentioned lyrical line the third time. Only the sentence gets progressively shorter. Even if he still questions whether he will die, he is already not struggling to survive as much, because he realizes that nature does not treat him as important and that he has no value in use to nature. Gradually, his drive to survive almost fades away and he calms down slowly. This is also the portrayal of the other three.

By repeating these sentences, Crane is able to reveal the changes of the psychological state of the men within the story. Their state of mind goes from being very angry and ready to fight against their fate to a very passive and weakened state. All of the above serve as ample evidences to prove that Stephen Crane is a master of portraying human psyche and that he is proficient in exposing inner conflicts of the characters by going deep into their spiritual world. So it should be out of question that the exquisite psyche-depictions are a key feature of Stephen Crane's Naturalism.

### 2.3.2 The Awakening of Humanity in *The Open Boat*

Unlike other naturalistic writers, Stephen Crane draws his special attention to "man and man's self-awakening" (Tong, 2010, p. 18) in his literary works. This can be considered as the typical change and great improvement of American Naturalism. As to Crane's particular concern over man, his first novella *Maggie, A Girl of the Streets* sufficiently demonstrates the brutality of the family members of the poor girl Maggie as well as the hypocrisy of the bartender Pete towards Maggie in context of the slum in New York City. It is their extreme cruelty that forces Maggie to fall into prostitution and ultimately drown herself in despair.

Considering the awakening of humanity, *The Open Boat* arouses people to build a strong sense of solidarity and sympathy. When tramping in the extremely abominable environment, the four poor men become aware of the fact that they can not count on others on the shore to save them or pray for mercy from nature. Consequently, just as Li Ligui has concluded, "they not only physically rely on each other to struggle for surviving with a rational division of labor, but also mentally count on each other and develop a rare brotherhood" (2007, p. 30).

It is really difficult to imagine how the four men manage to vanquish the ruthless nature during the two tough days. In the story, the captain serves as the commander, while the cook acts as the bailer and observer, the oiler and the correspondent as the two rowers. Though the division of labor in the boat is simple, they produce a perfect



art of collaboration. All of them willingly take the mission from the captain and never complain about his assignment in that they know that all they have is each other and that only by cooperating fully can they get out of this scrape. The reference, “The hurt captain could never command a more ready and swiftly obedient crew than the motley three of the dingey” (Tao, p. 107), well manifests this point. Besides, brotherhood can be experienced from details. Even though the injured captain is overly tired, he obliges himself to stay awake so as to lead the boat to the shore. Later in the night, he also directs the cook to take one oar so that the oiler and the correspondent can get into shape. When taking a rest, the cook and the oiler snuggle together to keep warm. It’s quite clear that the four men are an inseparable team. In reality, Crane has already left a clue that he regards them as a whole when describing their reflections upon the outer world, since they are often mentioned collectively as “the men” instead of by the singular pronoun “he”, or singular noun “the man”, aiming at creating “a silent understanding between them of their togetherness” (Encyclopaedia Britannica, 2014).

Moreover, the character of the correspondent is the best interpretation to man’s self-awakening. Originally the correspondent has been taught to be cynical of men, but his common tragedy with the other three compels him to establish a comradeship which far exceeds mere associations. In the story, he has learnt to share four dry cigars with his companions. As those cigars hidden deep in his pocket imply that there is optimism inside him, the share of cigars is, in essence, identical to that of optimism. Beyond that, the correspondent has learnt to care for others. When the correspondent and the oiler row the boat in turn at night, they both row until getting pretty exhausted and then arouse the sleeping one, because they both wish the other to get adequate rest. They never lose temper over being disturbed and roused up, instead they always reply with “Sure” in a soft tone. This comradeship at the time must be the best experience of the correspondent’s life. Furthermore, the correspondent has turned into a compassionate man. He, recollecting a childhood verse, feels great sympathy for a dying soldier who does not even exist. The following sentence speaks to this connection: “The correspondent, plying the oars and dreaming of the slow and slower movements of the lips of the soldier, was moved by a profound and perfectly impersonal comprehension” (Tao, p. 116). In the past, the correspondent treats the dying of the soldier with apathy and he also cannot understand his mentality. But for now, he makes the pathos of the soldier out. He knows what life will be like if he lives alone in such an inhumane world. He gets an entirely new comprehension on life and destiny. Eventually, he grasps what it means to be human: the persistent efforts when confronting with difficulties and the necessary dependence on others.

Moreover, a great brilliance of humanity and love scatter in the last part of the story. When the furious waves overturn the boat, the four men are in critical condition. The captain helps the correspondent and the cook to escape danger successfully by his rich sailing experience. Although the rescue comes at last, they all think about the safety of others, regardless of themselves. When a man wades toward the captain, the



captain asks him to save the correspondent first. Again the correspondent waves him away to the oiler. It is the close teamwork and the profound brotherhood of the four men that conquer the callous and pitiless nature.

As Pascal said, “Man is but a reed, the most feeble thing in nature; but he is a thinking reed. The entire universe need not arm itself to crush him. A vapor, a drop of water suffices to kill him. But, if the universe were to crush him, man would still be more noble than that which killed him” (2003, p. 98). Though human beings, like tiny dust particles, are negligible to nature, the powerful and endless energy of human love is enough to awe nature if it has feelings. Though nature is unmerciful to humans, men’s collective and stubborn resistance is admirable. Though the coldness of nature oftentimes chills mankind, the sublimity of humanity warms men’s heart quite much. Thus essentially, the final foothold of Stephen Crane’s naturalistic works lies in the awakening of humanity.

### 3 Conclusion

As illustrated by the above analyses, Stephen Crane’s *The Open Boat* is apparently a good example of literary Naturalism. Even though the story is short, it has substantial contents which fully express Stephen Crane’s deep thought on Naturalism. He has made great contributions to the development of Naturalism. In *The Open Boat*, he clearly embodies the general characteristics of Naturalism with abundant details, that is, detachment, determinism and pessimism. In addition, two noteworthy features of American Naturalism, namely the exploration of the forbidden subjects and the preservation of optimism, are also well interpreted.

Since Stephen Crane not only infuses Naturalism into American Literature but also “Americanizes naturalism and puts this peculiar literary trend into a solid blossom” (Tong, 2010, p. 48), the graduation thesis puts more emphasis on researching Stephen Crane’s unique Naturalism displayed in *The Open Boat*, namely the delicate psychological descriptions and the especial concern for humanity.

Although the story gives us a dose of reality which seems miserable at the outset, it ultimately eulogizes humanity (Gao, 2004). By representing the fierce battle between man and nature, the story seemingly mirrors the vicissitudes of life. As a matter of fact, it is meant to uncover the fact that men are the master of their own fate as they achieve final victory by depending on their tenacity, mental strength and unity. This is of great difference from other naturalistic works. And the characters’ psychological development and man’s self-awakening are the sublimation of *The Open Boat*. I do believe when we gaze up at a cold high star on a winter night, we will never feel alone as brotherhood and solidarity will console us.



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## Chapter 7 Naturalism

### II. Stephen Crane

#### 3 Major Features

Crane saw life as hard and ruthless and saw the world as chaotic and violent, so most of his writing is bleakly naturalistic, dealing with the poor and degraded. His writing actually shows his religious, social, and literary defiance and his alienated and unconventional stance, but also voices his sympathetic and unflinching call for courage, integrity, grace, and generosity in the face of a universe in which human beings are tiny and weak. Crane was attracted to the world of war and the world of physical violence, and he was also extremely rebellious. Much of his writing is journalistic. He served as a war correspondent for quite a number of newspapers. During his life many of the events that he covered were events that occurred in the slums of New York City, rather violent and physically demanding events in the Far West and Mexico, and he also covered events in several wars. So the kind of work he did as a journalist emphasizes his attraction for themes involving war and physical violence.

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Crane's writing has been called realistic, naturalistic, and impressionistic. He presented incomplete characters and a broken world. It is Crane's power with words and his ability to live with paradox that make him interesting. Eight features are peculiar in Crane's fiction.

(1) He understood the significance of isolated immediate moments. He did not write fiction with a highly complex plot where one event causes another event, and the reader can trace the chain of cause and effect. He did not believe that the world worked with that kind of cause and effect theory. Important for him were the immediate moments of experience. He focused on that moment and tried to understand it.

(2) He emphasized the feelings that exist in immediate experience. Therefore, for Crane, one's consciousness is more important than one's actions. In his writing there is less emphasis on action and more emphasis on the feeling while something is going on.

(3) His syntax is direct and simple. Yet it is not boring, because his writing is extremely intense. With his emphasis on feeling, he tried to work that feeling into the reader, and this keeps the simple syntax from becoming too boring.

(4) He used symbols. He had this philosophy about the symbols: an object

becomes a symbol during an intense moment of experience. So he did not always deal with the world of universal symbols or traditional symbols. He picked an object from that very event and gave it symbolic meaning. The symbol comes from the experience itself, and not from the outside world. This is known as an original symbol or private symbol. It is often used to suggest the dehumanizing effect of war.

(5) Crane was very much influenced by impressionistic painters. While he was in New York, he was living with a group that included some painters. From the impressionists he learned the importance of feeling and the way of choosing parts of reality, and not choosing others so that the feeling would come across. He gave the reader just those objects which create the real impression. He would rather render the scene as a whole than focus on detail. The essential vision generates feelings on the part of the reader.

(6) He used irony. It is ironic that people think help is on the way when nobody is coming to help them. Irony is based on wrong perception that real situations never meet our preconceptions. Our expectations are never fulfilled. We might think that it is going to be this way, but when it turns out, when it happens, it is not the way we thought it was going to be at all. Crane's tough-minded irony emphasizes this disparity between what we assume it will be and what actually happens.

(7) Crane was very careful in choosing narrative point of view. This is something that Henry James worked on. Crane was specially interested in choosing a detached and scientific observer's point of view to deal with his characteristic subject matter: the physical, emotional, and intellectual responses of people under extreme pressure, and the dominant themes of nature's indifference to humanity's fate and the consequent need for compassionate collective action.

(8) Crane's writing is also characteristic of vivid color, animal imagery, stereotyped characters, colloquial English, and simple and straightforward narration.

## 第七章 自然主义

### 二、史蒂芬·克莱恩

#### 3. 主要特征

克莱恩认为生活是艰难残忍的,并认为世界是混乱和充满暴力的,因此他大部分的文学作品都带有阴郁的自然主义色彩,并把焦点放在穷人和底层民众上。实际上,他的作品揭示了他冲破宗教、社会和文学的束缚以及远离和突破传统的立场,而且还表明他富于同情心,坚定不移地呼吁渺小懦弱的人们在宇宙面前要勇敢、正直、慈悲和慷慨。克莱恩被充满战争和肢体暴力的世界所吸引,可见他也是

**格式说明:** 中文标题, 宋体, 三号字, 加粗, 居中。

极其叛逆的。他的许多作品都是纪实性的。他曾担任多家报社的战地记者。一生中，他报导过很多发生在纽约贫民窟的事件，或者是发生在极西部和墨西哥相当暴力和对体力要求很高的事件，以及数次战争事件。他所从事的新闻工作使得他青睐那些涉及战争和肢体暴力的主题。

**格式说明：**参考文献翻译正文，宋体，小四号字，段落首行缩进2个汉语字符，单倍行距。

克莱恩的作品被贴上现实主义、自然主义和印象主义的标签。他呈现了各种不完整的人物和一个破碎的世界。克莱恩之所以能吸引读者，是因为其富有感染力的语言以及他与悖论共存的能力。克莱恩的小说具备八大独特特征。

(1) 克莱恩理解独立的即时瞬间的重要性。他不会把小说写成非常复杂的环环相扣的情节，以便于读者可以追踪因果关系链。他并不认为世界是按照因果学说运转的。即时的瞬间经历对他来说才是重要的。他专注于瞬间，并尝试去理解它。

(2) 克莱恩强调瞬间经历的感觉。因此，对于克莱恩来说，一个人的感觉比他的行为更重要。他的作品更加强调正在进行的事件中的感觉而非行为。

(3) 克莱恩的作品句法简单明了。然而，因为情节深刻，他的作品不乏味。既然他强调感觉，他就试图将这种感觉传递给读者，而这恰恰使得简单的句法不会无趣。

(4) 克莱恩运用象征手法。他对象征有这样的见解，即一个物体在紧张的瞬间经历中成为了一个象征。因此，他不总是讨论大量的普遍象征和传统象征，而是从特定的事件中选取一个物体并赋予它象征意义。这个象征来源于经历本身，而不是外部世界。这就是所谓的独创象征和私设象征。通常被用来揭示战争对人性的摧残。

(5) 克莱恩深受印象派画家的影响。他曾与一群人居住在纽约，其中就有画家。从印象派画家身上，他认识到感觉的重要性，并学会了选择局部现实的方法以及不选他物，单凭瞬间印象写作以便感觉自然流露的方法。他只提供读者一些可以给他们真实印象的物体。他宁愿整体呈现景象，而不愿意专注于细节。对读者而言，基本的视觉效果就可以使读者有所感触。

(6) 克莱恩使用反讽。具有讽刺意味的是，没有人前来营救，而人们却以为救援就快到了。反讽是以真实情况与预想不相符这种错误的认识为基础的。我们的预期从来都不会得以实现。我们可能认为某事会是这样的，而当它发生的时候，却根本不是我们原以为的那样。克莱恩讲究实际的反讽，强调了对事物的猜想与其实际发生的不一致性。

(7) 克莱恩谨慎选择叙事视角。这也是亨利·詹姆斯所重视的东西。克莱恩特别感兴趣的是，选择站在超然的、科学的观察者角度，分析其典型的主题：在巨大压力下，人的身体、情绪和智力的反应，以及自然对人类命运的漠视和随之而来的对富于同情心的集体行动的呼吁等主要主题。

(8) 克莱恩的作品具有色彩生动、动物意象、人物类型化、语言通俗易懂以及叙述简单明了的特征。



# 附录 E



## 本科毕业论文指导工作所需 主要材料

### 1. 指导过程记录册封面

指导过程记录册封面如下所示。

## XX 学院本科毕业设计（论文） 指导过程记录册

题 目

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系 名 称  
专 业 名 称  
学 生 姓 名  
学 号  
指 导 教 师  
助 理 指 导 教 师

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## 2. 毕业设计（论文）任务书

毕业设计（论文）任务书如下所示。

# XX 学院

## 毕业设计（论文）任务书

题目：\_\_\_\_\_

专业：\_\_\_\_\_ 班级：\_\_\_\_\_ 学号：\_\_\_\_\_ 姓名：\_\_\_\_\_

主要内容、基本要求、主要参考资料等：（内容字体为小四号宋体）

**说明：**任务书应由指导教师撰写，选题确定后，指导教师根据选题内容，下达写作任务，提出要求，指出学生需要阅读的书目及参考资料。

完成期限：

指导教师签章：\_\_\_\_\_ 专业负责人签章：\_\_\_\_\_

年 月 日

年 月 日

### 3. 学生开题报告表

学生开题报告表如表 E1 所示。

表 E1 ××学院学生开题报告表

课题名称							
课题来源			课题类型			指导教师	
学生姓名		学号		班级		专业	
<p>一、开题报告内容 (1.研究目的与意义; 2. 研究现状 (文献综述); 3. 参考文献; 4. 主要观点与论文初步提纲; 5. 研究方法思路; 6. 研究重点与难点) (内容字体为五号宋体)</p>							
二、任务完成的阶段及预期结果							
起止日期	主要内容				预期结果		
审查意见	是否同意开题				开题阶段成绩		
	指导教师签字:				日期:		

**课题来源:** A—校内教研基金; B—校内科研基金; C—企事业单位合作课题; D—政府部门支持课题; E—教师自拟课题; F—学生自拟课题; G—其他。

**课题类型:** (1) A—工程设计; B—技术开发; C—软件工程; D—理论研究; E—应用研究;

(2) X—真实课题; Y—模拟课题; Z—虚拟课题;

(1)、(2)均要填,如 AY、BX 等。

毕业设计（论文）中期检查表如表 E2 所示。

表 E2 ××学院毕业设计(论文)中期检查表

学生姓名		学号	专业（班级）		
指导教师		职称			
课题名称					
学生 填写	指导教师每周指导次数		每周指导时间（小时）		
	毕业设计（论文） 工作进度（完成）内容及比重	已完成主要内容	%	待完成主要内容	%
	后期工作计划				
指导教师 填写	存在问题及改进意见				
	指导教师意见	指导教师签字：年 月 日			
系（教研室）意见		负责人签字：年 月 日			

### 5. 学生申请答辩表与指导教师评审表

学生申请答辩表与指导教师评审表如表 E3 所示。

表 E3 ××学院学生申请答辩表

课题名称					
指导教师（职称）					
申请理由					
学生所在系		专业		学号	

学生签名：

年 月 日

指导教师毕业设计（论文）评审表

序号	评审项目	指 标	满分		评分
			理	文	
1	工作量、工作态度	按期圆满完成规定的任务，难易程度和工作量符合教学要求；工作努力，遵守纪律；工作作风严谨务实；善于与他人合作。	20	20	
2	调查论证	能独立查阅文献和调研；能较好地做出开题报告；有综合、收集和正确利用各种信息及获取新知识的能力。	10	20	
3	译文	翻译准确、通顺、文笔流畅，译文数量符合要求。	5	10	
4	设计、实验方案,分析与技能	设计、实验方案科学合理；数据采集、计算、处理正确；论据可靠，分析、论证充分；结构设计合理、工艺可行、推导正确或程序运行可靠；绘图符合国家标准。	40	0	
5	设计说明书、论文质量	综述简练完整，有见解；立论正确，论据充分，结论严谨合理；文理通顺，技术用语准确，符合规范；图表完备、正确。	20	40	
6	创新	工作中有创新意识；对前人工作有改进、突破，或有独特见解，有一定应用价值。	5	10	
是否同意参加答辩：			总分		

指导教师签字：

年 月 日

## 6. 学院毕业设计（论文）评阅表（评阅人用）

学院毕业设计（论文）评阅表（评阅人用）如表 E4 所示。

表 E4 ××学院毕业设计（论文）评阅表（评阅人用）

课题名称								
学生姓名		学号		指导教师姓名		职称		
序号	评审项目	指标				满分		评分
						理	文	
1	课题完成量	课题完成达到教学基本要求，难易程度，工作量大小合适。				20	20	
2	调查论证	能独立查阅文献和调研；能较好地做出开题报告；有综合、收集和正确利用各种信息及获取新知识的能力。				10	20	
3	译文	翻译准确、通顺、文笔流畅，译文数量符合要求。				5	10	
4	设计、实验方案，分析与技能	设计、实验方案科学合理；数据采集、计算、处理正确；论据可靠，分析、论证充分；结构设计合理、工艺可行、推导正确或程序运行可靠；绘图符合国家标准。				45	0	
5	设计说明书、论文质量	综述简练完整，有见解；立论正确，论据充分，结论严谨合理；文理通顺，技术用语准确，符合规范；图表完备、正确。				15	40	
6	创新	工作中有创新意识；对前人工作有改进、突破，或有独特见解，有一定应用价值。				5	10	
						总分		

评阅人：

年 月 日

## 7. 学院毕业设计（论文）答辩记录表

学院毕业设计（论文）答辩记录表如表 E5 所示。

表 E5 ××学院毕业设计（论文）答辩记录表

所在系\_\_\_\_\_ 专业（班级）\_\_\_\_\_ 学生姓名\_\_\_\_\_ 学号\_\_\_\_\_

课题名称				
答辩委员会主席（或组长）		职称		答辩委员会秘书
答辩委员会成员				
<p>答辩记录（包含答辩委员会成员提出的问题，学生回答情况等）</p> <p style="text-align: right;">答辩委员会秘书（签字）：</p> <p style="text-align: right;">年 月 日</p>				

## 8. 毕业设计（论文）答辩评审表

毕业设计（论文）答辩评审表如表 E6 所示。

表 E6 ××学院毕业设计（论文）答辩评审表

课题名称						
学生姓名		学号		指导教师姓名		职称
序号	评审项目	指标			满分	评分
1	报告内容	思路清晰；语言表达准确，概念清楚，论点正确；实验方法科学，分析归纳合理；结论有应用价值。			40	
2	报告过程	准备工作充分，时间符合要求。			10	
3	创新	对前人工作有改进或突破，或有独特见解。			10	
4	答辩	回答问题有理论依据，基本概念清楚。主要问题回答准确，深入。			40	
					总分	
<p>评语：</p>						

答辩委员会（小组）负责人：\_\_\_\_\_ 年 月 日

## 毕业设计（论文）评价

a: 开题答辩成绩	b: 指导教师给定成绩	c: 评阅教师给定成绩	d: 毕业答辩成绩	综合评定成绩 ( $a \times 0.2 + b \times 0.2 + c \times 0.3 + d \times 0.3$ )

答辩委员会负责人：\_\_\_\_\_ 年 月 日

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